

# Shared Governance Practices in Turkish Private (Foundation) Universities

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by

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## Abstract

As Turkish Higher Education has been facing rapid and significant growth in recent decades, the creation of Foundation Universities (private but not-for-profit) has both supported this growth and presented new challenges. One of these challenges has been the visible absence of effective governance models and practices, specifically the involvement of internal and external stakeholders in decision-making processes. The aim of this research is to identify the factors affecting the emergence of established shared governance practices in Turkish private (Foundation) universities, in order to contribute to effective policy making and application by administrators and managers in higher education. Primarily based on qualitative data gathering methods through in-depth, semi-structured interviews with leading educators in Turkey, the thesis also utilizes publicly available data from official reports. The thesis identified several factors, such as Turkish Higher Education Culture, Politics, Regulations and Higher Education Law, Founding Principles and Trust, Loyalty and Ownership as being significantly influential in shaping an institution's participatory governance practices; the level of institutionalization, or *kurumsallaşma*, however, has been found to be a mediating filter that determines the impact of these factors on the school. Claiming that Culture remains the dominating factor in preventing the establishment of shared governance mechanisms, this thesis concludes by making a variety of policy and practice recommendations ranging from regulatory changes to the entire system, to obtaining specific external audits and to establishing certain committee structures to increase internal stakeholder participation, as well as creating a culture that balances

collegiality and corporate practices by placing individuals with skills in both modes of thinking to key nodes of governance. *(261 Words)*

**Keywords:**

Shared Governance, Turkish Private Universities ('Foundation Universities'), Turkish Higher Education, University Administration, and Decision Making.

## Abbreviations

<b>AAUP</b>	The American Association of University Professors
<b>ACE</b>	The American Council on Education
<b>AGB</b>	The Association of Governing Boards of Universities and Colleges
<b>BoT</b>	Board of Trustees
<b>CoHE</b>	Council of Higher Education
<b>EFQM</b>	European Foundation for Quality Management
<b>EUA</b>	European University Association
<b>FUs</b>	Foundation Universities
<b>GER</b>	Gross Enrolment Ratio
<b>GT</b>	Grounded Theory
<b>HE</b>	Higher Education
<b>HEI</b>	Higher Education Institution
<b>IEP</b>	Institutional Evaluation Programme
<b>IMF</b>	International Monetary Fund
<b>IUC</b>	Inter-University Council
<b>MoNE</b>	Ministry of National Education
<b>OECD</b>	Organisation of Economic Cooperation & Development
<b>ÖSYM</b>	Assessment, Selection and Placement Centre
<b>QA</b>	Quality Assurance
<b>SACS</b>	Southern Association of Colleges and Schools Commission on Colleges
<b>URAP</b>	University Ranking by Academic Performance

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## Chapter I – Introduction

### I - Introduction and Problematique

In 2012, while celebrating its fourth anniversary, a Foundation University in Istanbul found itself making headlines, not for its academic accomplishments, nor its students' achievements, but because of its questionable management practices. The Vice President of the Board of Trustees (BoT) sent letters to 17 academics, three of them Deans, informing them that their employment had been terminated, no cause or reason provided (Vardar, 2012a). While the job security of academics in Foundation Universities (FUs) in Turkey has always been tenuous rather than tenured, this was the first documented case where the Vice President chose not to inform the Rector, chose not to follow any legal processes and simply ignored not only general academic principles, but also those of basic management principles and sense of decency. While it was an absurd action, it was not a surprise to the majority in this field, as this university had replaced its Rector three times in its first year and its style of management has been covered extensively in the media and in the relevant literature (Vardar, 2012b). However, the impact of the media attention and the complaints made to the Council of Higher Education (CoHE) for the removal of 17 pale in comparison to the industry and public reaction to the audacity of another university in 2014 which dismissed 42 academics two months before classes began (Bahçeşehir Üniversitesi'nde 42 ..., 2014)

As extreme as these examples might seem, they are not the only instances that testify to the lack of shared governance in Turkish Foundation Universities. Particularly over the last five years, an increasing number of the questionable management practices of Turkish private universities have featured prominently in newspapers, blogs, academic networks, and even in books (Vatansever & Yalçın, 2015 and Değirmencioğlu & İnal, 2015) – instances in which those examining these practices clearly present the lack of collaborative decision making and the lack of any effective involvement of stakeholders. These unusual practices have started to become more common among several FUs wherein the President and members of the Board of Trustees (BoT) have been emboldened to make major academic decisions without input from academic management. The audacity of administrative management with respect to hiring and firing has expanded to include the launch of new programs and the closure of existing ones due to low enrolment. Değirmencioğlu and İnal (2015) state that at one institution the President of the BoT lead the academic senate meetings, despite the fact that he had neither the credentials, legal rights nor the experience to even attend meetings of this level. Even worse is the case of another President of a BoT, a self-proclaimed final decision maker on each and every academic hiring, in spite of an equal lack of understanding and proficiency in the field. Furthermore, while not altogether surprising, it is offensive to many that several FUs, under the auspices of assuring campus security, have begun to require academic staff to swipe ID cards when entering and leaving the campus. To those who disagree with this policy it is but a thinly veiled guise for the monitoring that has been used to justify and demand a 40-hour on-campus working week for faculty. One university in İzmir took this monitoring to a new level

and at the beginning of 2015-2016 academic year included a consent statement in faculty contracts allowing the university to video record each class and to keep this recording indefinitely (Öner, 2015). While the management states that these recordings will be used for academic quality purposes and to provide better service to the students, the general consensus is that such recordings will be used both to control and monitor academics and to inhibit the type of academic freedom in the classroom that can lead to student and faculty dissension with management practices.

It is extremely unfortunate that many of the founders of Turkish FUs see themselves as the owners of the universities they have established and consider the universities their business to run as they see fit – or as they ran their other businesses. These founders have in certain instances placed random demands on faculty, some more appropriately handled by other departments and often far beyond the normal duties of academics. Presidents of the Boards of Trustees often act with an autonomy many CEOs would envy. One of the interviewees in the current study said that during a visit to a Foundation University, senior academics and administrators, upon being questioned, stated that the university did not have a strategic plan. This interviewee later learned that the President of the BoT had previously asked a consulting firm to prepare a plan without the involvement of any internal stakeholders including the Rector. The President's behaviour was appalling, but perhaps no more so than a consulting firm that thought it could take on a task of this nature in the 21<sup>st</sup> century without any input from faculty, staff and students.

The challenges related to the effective governance of private universities must be viewed within the context of an overall system with significant issues. A push to change the 1981 Higher Education (HE) Law accelerated under the leadership of former CoHE President Prof. Dr. Gökhan Çetinsaya, who oversaw the drafting of a law prepared by the CoHE proposing changes to the autonomy and governance of universities including FUs. The intention of the CoHE leadership to include all stakeholders in the process and allow them to raise their voices has been a relatively new practice, but before any final product was ready, before a bill could be agreed upon and put forth, the ruling party postponed getting this item on a legislative agenda and later the CoHE president was replaced (Bakan and Sincer, 2014 and Çetinsaya, 2014a). The new President of the CoHE, Prof. Dr. Yekta Saraç, appointed by the President of Turkey and who took office in November 2014, stated in his first few weeks that new HE law would not be a priority on his agenda as there were so many other urgent and important issues waiting to be resolved. However, in December 2015 the CoHE announced that it had opened a study to prepare a new HE Law and would include first the Rectors of all universities and then all other stakeholders in a transparent and participatory way, as there had been no study of this nature done prior to this statement (Yükseköğretim, 2015). This ignores the fact that work in this area had indeed been done before, with these same players, only months prior, demonstrating that the topic of shared governance in Turkish HE is a larger problem affecting everyone in the system.

The challenges related to the overall system mentioned above took a tragicomic turn after the failed coup d'état attempt in July 2016. In the days following,



the CoHE asked for all Deans of state and Foundation Universities to resign and appointed the respective Rectors of these schools as the interim Deans. This decision created super Rectors who temporarily held supreme power as they dominated all governing boards until new Deans were appointed. This resulted in some universities, such as Gümüşhane University choosing to reflect this change on their web sites in a rather repetitive manner by replacing this *super rector's* picture with all deans.

As these instances highlight, shared governance in Turkish HE, let alone Turkish FUs is almost absent. This thesis, accordingly, problematizes this void. The research question it raises, therefore, is why there is no established mechanisms of shared governance in Turkish FUs. Put differently, **what are the factors that hinder the emergence of shared governance practices in Turkish Foundation Universities?** Within this framework, this thesis also addresses a series of interrelated secondary questions. Delineating internal and external factors affecting the entire Turkish HE system (ecosystem-wide factors) as well as institution-specific factors, it also seeks to single out any dominating and overwhelming factors. The presence of such, however, does not mean that there are no other factors at play; rather, the interrelations among these factors are analysed to see the larger context of shared governance in Turkish FUs. Finally, this study is aiming to provide decision makers not only with insights regarding shared governance in HE in Turkey, but also the thesis further aims to make policy and practice suggestions. Thus, it also considers the potential policy implications of these factors.

It is important to note that I have been involved in higher education professionally for over 20 years and have worked in numerous aspects of higher education in various capacities in different countries. Before my current role in Turkey, I worked in American HEIs and was exposed to the shared governance concept in a highly developed and universally accepted system. I was fortunate to serve on the initial Shared Governance Task Force at one of the state universities where I worked, an opportunity which has proven over time to have significant influence on the evolution of my approach to management.

Returning to Turkey in 2009, I was struck by the differences in the style and methods of university governance and have continued to draw upon my experience and insight as I have moved through multiple roles in an HEI in Turkey. Currently, as a member of the senior management team at my university, a foundation university in Turkey, I am involved in issues related to governance every day. In this capacity, I work closely with all stakeholders to address strategic and operational matters of the university. As a result of this type of involvement, I have had the chance to compare what I encounter daily at my current institution with my prior experiences in the United States, particularly as related to shared governance practices. As a Turkish national I have an insider's understanding of the culture and, although it was clear to me that improvements could be made to governance policies and practice it was also clear that to simply attempt to graft shared governance on to the existing system was a plan unlikely to bear fruit, with strong potential for rejection.

It is therefore a unique hybrid position in which I find myself, having had this first-hand experience in shared governance practices in higher education in the United States and having held a leadership position in a foundation university in Turkey for close to a decade. The opportunities to compare and contrast models as well as the extenuating circumstances of these varied environments have pushed me to approach my research as an insider with an outsider's insights.

In order to understand some of the necessary background context towards answering the key research question (and its sub-questions and related themes in chapters II - V following), it is important first to focus on the early history, and key historical turning points that had far-reaching consequences for the HE sector internationally and the resultant structural and hierarchical arrangements that affect governance in the Turkish HE sector as currently constituted. In chapter I the aim and organization of this study will be discussed; later the key information on the Turkish HE system including Foundation Universities closely related to their governance will be presented to provide the necessary background information.

## **II – Outline of the Thesis**

The study consists of six chapters covering different aspects of research. In Chapter I, the researcher introduces the research question and related secondary questions while providing background information on the Turkish HE system, including the legal status and the power institutions garner from the regulations are discussed, in addition to providing general information on university structure in Turkey.

In Chapter II, a review of available literature is summarized to provide supporting arguments and also to show the originality of the study. First of all, the literature review demonstrates that there is a marked lack of research on shared governance in Turkish HE, let alone in Foundation Universities. Furthermore, the literature review establishes that neither shared governance nor governance per se generate widely agreed upon definitions or perspectives in the Turkish HE system. The limited literature on governance in Turkish HE, specifically on FUs, mainly discusses autonomy issues, the overarching power of the rector, ineffective regulations and governing bodies mandated by these, and low levels of student participation. To make up for this deficiency in this literature, the chapter extends its scope to see how shared governance is discussed and conceptualized in a more generalized contemporary context. As a result, the literature review demonstrates that balance is a key feature of almost every approach, no matter how different and varied their perspectives are.

Chapter III provides detailed information about the data collection and analysis, in addition to the sociological traditions on which the study is based. It outlines the theoretical and methodological frameworks that this research relies on in addressing its primary and secondary questions. The chapter examines where this study sits in sociological traditions and argues that conventional sociological approaches fall short of offering a fitting framework for explaining the absence of established mechanisms of shared governance in Turkish FUs. Hence, the theoretical position adopted to guide the methods chosen complements conventional sociological theory with the more recent theory of structuration, enabling the researcher to explore how best to import agency in societies with a limited institutional culture regarding shared governance. This lack of a culture of shared governance calls for a still greater agency-oriented approach than the structuration theory allows; accordingly, this chapter argues that a qualitative approach that takes its cue from the Grounded Theory (GT) Model, with its emphasis on theory emerging from the empirical material data, rather than being tested through it, is the best fit for a context where structural patterns are not yet stably in place, as the analysis continues until certain significant and repeating themes have been isolated and identified.

Then in chapter IV, the findings of this study are presented. In line with the literature review, findings of the study demonstrate that there is no consensus on what shared governance actually is. Additionally, this chapter introduces the concept of “Shared Governance *A la Turca*” with its three major aspects, namely, the absence of overall consensus on shared governance, confusion over stakeholder roles and

finally what interviewees refer to as the issue of level of institutionalisation. Two general categories of findings – institution specific and ecosystem-wide – emerge in addition to one dominant factor – culture – as a result of this study, which are discussed and elaborated with reference to direct quotations from the interviewees.

In Chapter V, the researcher critically analyses the major findings discussed in earlier chapters and presents practical applications that might also help the wider profession of HE. The chapter discusses and analyses the factors found to be preventing the further establishment of shared governance in Turkish Foundation Universities. It seeks to offer a multi-dimensional view of an extremely complex set of interrelations among these factors. By utilizing the GT approach, it identifies two primary sets of factors, as well as a dominating and overarching one. Finally, the researcher offers a series of conclusions containing practical and policy recommendations in each issue area as well as a larger road map for creating a culture of shared governance at primarily institutional, but also national level. Beyond these recommendations the chapter in particular and the thesis in general provide a framework to help understand and conceptualise how culture plays an overwhelming role in the analysis of context where shared governance practices are still not properly institutionalised.

The concluding chapter (VI) provides an overview of the study before further summarizing major arguments and implications for policy and practice. It also reflects on the limitations of the study and proposes potential themes and agendas

for future research. Finally, the personal reflection and concluding remarks on this rewarding journey will be told.

### **III - Brief Introduction to Turkish Higher Education**

#### *a - Historical Development*

While at the beginning of the 15th century the number of universities in Europe grew close to 60 and there was an institution in almost every major city of Europe (Sargin, 2007) the Ottoman Empire used medreses as the sole provider for needs related to HE until the 1750's. However, when the Empire started to lose its power and the territories under its rule, the need for a Western style approach to HE in specific areas became inevitable. Defeat in a significant naval battle at Çeşme in 1770, has been noted as a turning point for HE in the Ottoman Empire (Sargin, 2007). In this battle, the Ottoman Navy lost almost its entire fleet, and among several outcomes was the establishment of two new engineering schools, which adopted a mode of education modelled after that in the West. This was due in no small part to the acknowledgement that the outcomes provided from medreses were not meeting the needs of the era, as they were not governed, nor operated like typical HE institutions in the West, were focusing more on religious education and were not providing a quality education in math, engineering and maritime studies (Mutlu, 2007). Muhendishane-i Bahr-i Hümayun (1773) and Muhendishane-i Berr-i Hümayun (1795) are considered the first real Higher Education institutions (HEIs) of the Ottoman Empire. These schools later became Istanbul Technical University and the Turkish Naval Academy and they are each considered top institutions today (Dölen, 2009).



The number and variety of these Western style institutions increased during the last period of the Empire, and grew to include foreign institutions like Robert College in Istanbul. During this period, several thematic and specialized HEIs were established primarily to address the need for well-educated citizens to work in the military, medicine, administration and law (Mutlu, 2007). On the other hand, statistics on the general education show that reform attempts in the Ottoman Empire remained highly limited until the mid-19<sup>th</sup> century, running alongside relative secularization and westernization of the curriculums (Evered, 2012).

In 1846, Darülfunun was established after an initiation by and support of the government. This comprehensive university closed and re-opened several times due to the power struggle between conservatives and Western-leaning trends among bureaucrats, intellectuals and soldiers (Dölen, 2009, 2010a & 2010b).

After the collapse of the Ottoman Empire, the new modern Turkey founded by Mustafa Kemal Atatürk in 1923 underwent significant reforms and changes which impacted every aspect of life. During the first ten years of the Republic, the top priority for the government was reforming primary and secondary education and increasing literacy in the country. The 1924 law on the unification of education and the 1928 alphabet reform aimed to introduce a secular Western style primary and secondary education system which later began to create a large pool of candidates for HE (Dölen, 2010a).

The faculty of Darülfünun's limited role in supporting the reforms and their vocal criticism of the changes Atatürk oversaw to the alphabet, created intense discussions about the future of the Darülfünun among the leaders of Turkey. As a result, in 1932 Professor Albert Malche, a world renowned scholar in pedagogy from the University of Geneva, was invited to Turkey to conduct an audit on Darülfünun and to submit a report to the government. In his report Malche provided valuable comments about teaching and research related areas, but did not provide any feedback on governance. As a result of the findings of this comprehensive study, the Turkish General Assembly adopted a new resolution in 1933, known as the first HE Law of modern Turkey. With this resolution Darülfünun was closed and a new university called Istanbul University was established (Malche, Turkey, & Maarif, 1939). This development may be considered as the new direction of the Turkish HE system, one of intense political control (as will be discussed in the following chapters) with associated repercussions on shared governance, running alongside the introduction of courses inaugurating the new principles of the regime and making radical changes in curriculums and teaching staff. Thus the founding elite of the Republic considered the internalization, institutionalisation and implementation of the reforms by the nascent elite crucial. In other words, modern Western schools were seen as inevitable to monopolize knowledge and to rationalize social control by this new elite.

Between 1933 and the establishment of Istanbul University and the 1980 military coup, major steps were taken and numerous changes were implemented in Turkish HE. The demand for HE continued to grow significantly as Turkey continued

to grow its economy (Appendix A – Economic Growth), to become a more urban society (Appendix B – Urbanization) and to improve access to high school education (Appendix C – High School Graduates) - all of which increased the pool of potential candidates for HE. Yet late urbanization and the consequent slow expansion of high school provision inevitably resulted in the delayed development of Turkish HE system.

The government continued to open comprehensive state universities in different parts of the country, thus addressing regional needs for institutions of HE, with the additional goal of using universities to improve these regions. In the late 1960s, the government passed a bill which allowed for-profit, post-secondary schools to open and offer bachelor degree programs. The rapid growth of these schools and programs, with limited oversight and almost no accreditation, only furthered negative perceptions of the quality of education they were providing by the public. The 1968 Republic Senate Committee findings present serious criticism of the issue of quality in these schools, in various documents (see for instance, Tüzün et al., 1968). In this report, senators visited 21 institutions and supported their criticisms, which are mostly about the quality of the education, with several real life examples derived from these visits. In their report senators did not provide any comments regarding how these institutions were governed and if there were any issues related to the governance and management. This short-lived and rather unpleasant experience of for-profit HE in Turkey can be seen as the precursor to a strongly worded statement regarding the ban on for-profit HE in Turkey in the 1982 constitution.

The 1980 military coup affected HE in Turkey significantly and left very deep scars which the system still feels to this day. Almost all stakeholders agreed on the need for HE reform due to its status before the coup, but no one believed at that time that such a centralized structure established after a military coup would still exist 37 years later.

The establishment of the Council of Higher Education (CoHE) was first introduced with the 1981 law and was later included in the 1982 Constitution, both of which were prepared by the military regime. The military regime and the legal system they created designed a HE system which centralized all management and governance decisions, rejected any autonomy for institutions and discouraged any collective governance practices (Tekeli, 2010). Also, a high level of control by the CoHE supported first by the military regime then the ruling parties would also result in fewer chances of establishing international networks and standards for shared governance models. Both the CoHE and the constitutional changes of 1982 are still in use, with minimal modifications and despite all political parties having promised to make changes.

One of the other important changes Turkey faced with the military coup was the constitutional ban on for-profit institutions. The 1982 constitution banned the establishment or conversion of any HEIs as for-profit, but with an amendment in 1984 a new category of universities called 'Foundation Universities' was introduced (Türkiye Cumhuriyeti Anayasası, 1982, Article 130). According to Prof. Dr. Atilla Eriş former CoHE Member, while the main reason for the development of a new type of a

university was to absorb increasing demand through transferring the related cost to students and founding foundations (Private Conversation), a more latent reason was to achieve a politically and economically controlled market.

#### *b - Foundation Universities (FUs)*

FUs are HEIs established by a foundation and brought in to being only by law. Specifically, a law must be passed by the Parliament actually granting permission by the Turkish government for the institution to operate. CoHE conducts a review of the application folder, together with the financial commitment of the foundation to support the university once it is established. If the CoHE approves the application, then the folder is sent to the Parliament and it is discussed in related committees before being voted upon on the floor. If the law passes, it then goes to the President of Turkey for his signature and the moment it is published in the official gazette the university or school becomes official.

Before submitting any applications to the CoHE to receive approval to admit students, the foundation must appoint a board of trustees (BoT), which will later select the rector and other officials, as well as transfer all the initial financial commitments to the ownership of the university or school. The requirements for being selected as a trustee are listed by law, but these are very general requirements and do not include any specific education or experience related to HE. Also, through the initial application, the foundation commits itself to being the provider of financial resources, declaring that if and when the university should need any financial support, the foundation will provide it. Such legal and significant commitments create

an environment where the foundation has extremely strong leverage and interest in the governance of the university.

Since FUs do not pursue profits, they do not pay any tax other than an 8% VAT, which is deductible. However, the government requires FUs to offer a 100% tuition scholarship for 10% of their annual new student capacity allocation (referred to as a school's quota) (YÖK Vakıf ..., 2006).

The first Foundation University of Turkey is Bilkent University, established in 1984 in Ankara. The founder of Bilkent University was also the President of the CoHE from 1981 to 1992 and is one of the most important figures in Turkish HE, Professor Dr. İhsan Doğramacı. Bilkent University enjoyed being the first and only FU for eight years until the number of FUs in the country started to grow in 1992 and by 1999 had reached 20, with 14 in Istanbul.

As shown in the following table (Table 1), since 2000, legislators have approved more and more Foundation Universities, which has brought the total number to 77 in 2015. As an important note, on July 14<sup>th</sup> 2016, Turkey experienced a failed coup d'état attempt led by a small friction of military but it was thwarted by the rest of the military and police forces, however most importantly led by civilians representing all political parties. After this failed attempt, a three-month state of emergency was declared, which was later extended for another three months twice. Under the State of Emergency, the Council of Ministers have extended authorities and they are entitled to issue executive orders. The Fettullah Terrorist Organization

is believed to be behind this coup attempt and any organization and any individual affiliated with them have been investigated, removed and prosecuted immediately. In addition to thousands of public servants being removed from their positions or arrested, on July 23<sup>rd</sup>, 2016, an executive order was issued and hundreds of associations, foundations, unions, K-12 institutions plus 15 FUs have been closed. The students enrolled in these universities (approximately 65,000) are given certain options to transfer to other state and FUs, that is why the enrolment figures are not excluded from the tables but the number of institutions are (see Appendix D). After these closures (as shown in brackets below in Table 1), the total number of FUs in Turkey is now 65.

Years	Total Number of Foundation HEIs	Foundation Post-Secondary Vocational Schools	Foundation Universities
1986 - 1990	1	0	1
1991 - 1995	2	0	2
1996 - 2000	15	0	15
2001 - 2005	8	1	7
2006 - 2010	28	6	22
2011 - 2015	23	1	22
2016	(12)	0	3 (15)
<b>Total</b>	<b>65</b>	<b>8</b>	<b>57</b>

*Table 1 The founding years of Turkish higher education institutions (CoHE, 2016)*

In addition to the number of new FUs, the locations where they are being established also reflect the varying needs of the country; a list of all foundation with their foundation years, types, enrolment and locations are listed in Appendix D.

### *c - Turkish Higher Education Market Today*

According to the most recent Turkish census, Turkey's population is estimated at 79 million as of December 2016, with close to 9 million people between the ages of 18 and 24 (İstatistik Göstergeler 1923-2013, 2014). While the increasing numbers of FUs have started to enrol more students, the gap between supply and demand in Turkey still continues to be a significant hurdle for those seeking HE.

In order to increase participation rates and provide greater opportunities, the government accelerated university openings and increased the number of state universities from 19 in 1980 to 108 in 2016. In addition to these 108 universities, as shared above, 65 foundation HEIs admitted new students for 2016-2017 academic year.



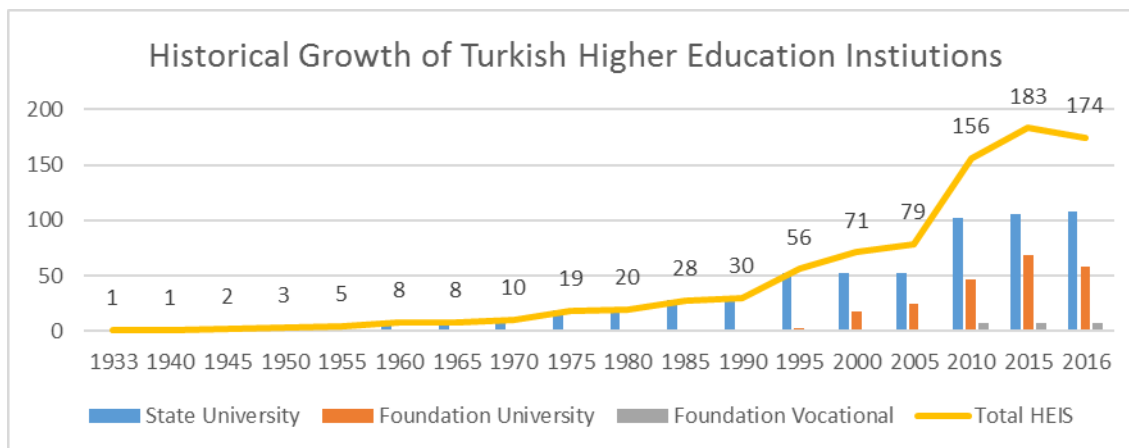


Figure 1 Historical growth of Turkish higher education institutions (Council of Higher Education, 2016)

According to the CoHE's 2014-2019 strategic plan (YOK, 2014b) the Turkish HE population grew by 121% after 2000 and has become one of the fastest and largest growing systems in the world. This growth has been reflected in Gross Enrolment Ratios (GER), and as can be seen from the following figure, the GER for Turkey grew from 1.3% in 1950 to 74.9% in 2013.

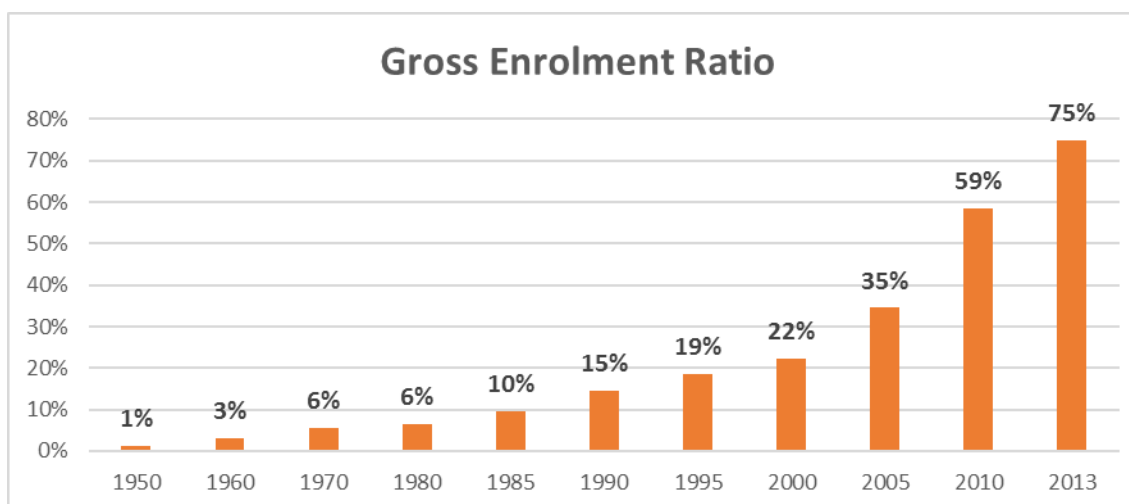


Figure 2 Gross Enrolment Ratio (Council of Higher Education, 2015)

As the breakdown can be seen in the following table, the Turkish HE market with over 6 million students is now the second largest market in the European HE Area after Russia (Commission/EACEA/Eurydice, 2015).

2015-2016 Academic Year	All Higher Education Institutions		State Universities		Foundation Universities*	
	New	Total	New	Total	New	Total
<b>Total Enrollment</b>	<b>1,535,409</b>	<b>6,689,185</b>	<b>1,359,506</b>	<b>6,137,014</b>	<b>175,903</b>	<b>552,171</b>
<b>Post Secondary Vocational Associate Degree Programs</b>	<b>617,732</b>	<b>2,285,406</b>	<b>557,419</b>	<b>2,153,972</b>	<b>60,313</b>	<b>131,434</b>
<b>Undergraduate Bachelor's Degree Programs</b>	<b>789,726</b>	<b>3,900,601</b>	<b>704,995</b>	<b>3,571,220</b>	<b>84,731</b>	<b>329,381</b>
<b>Graduate Programs Master's Degree Programs</b>	<b>113,759</b>	<b>417,084</b>	<b>84,521</b>	<b>334,491</b>	<b>29,238</b>	<b>82,593</b>
<b>Doctorate Doctoral Degree Programs</b>	<b>14,192</b>	<b>86,094</b>	<b>12,571</b>	<b>77,331</b>	<b>1,621</b>	<b>8,763</b>
* Includes Foundation Post Secondary Vocational Schools						

Table 2 Enrolment figures of Turkish Higher Education for 2015-2016 academic year (CoHE, 2016)

The weight of Open Universities (3 state universities) represents close to 50% of the total enrolment in Turkey, whereas it is around 15% in the United Kingdom. Currently, three state universities offer open university programs which are considered of lower quality due to their open admissions policies, and television and internet based education models which lack any interactivity. Additionally, despite the rapid growth of FUs in Turkey over the last ten years, FUs still represent less than 10% of the total HE market.

#### *d - Student Selection and Admissions*

Due to the large gap between available seats in universities and the number of applicants for vocational and undergraduate degrees, there is a central selection and placement system that applies to all students and universities.

The system is administered by the Assessment, Selection and Placement Centre (known as ÖSYM in Turkish). This highly complex system works as follows:

**Step I:** Each university requests seats (their allotment, known as their quota) from the CoHE, and depending on their capacity and governmental policies, the CoHE approves a quota for each program.

**Step II:** Students take a national exam administered by the ÖSYM in March, with their options dependent upon the following scoring criteria:

- If the score is less than 150, then the student is not qualified to attend any HEI
- If the score is between 150 and 180 then the student is qualified to make a selection for a two-year or a talent program
- If the score is over 180 then the student has the right to take the second leg tests in June.

**Step III:** Students have the right to make 30 selections of programs in which they would want to study and submit them to the ÖSYM electronically.

**Step IV:** After all students make their selections and submit them, the ÖSYM places each student in a program selected by the student, according to their scores.

**Step V:** Students complete their registration. This is such a strict system that students have no right to change their selection after they are placed in one university and they must either register in that program, or wait for the next year to retake the exam.

Student Selection and Placement System is summarized as follow:

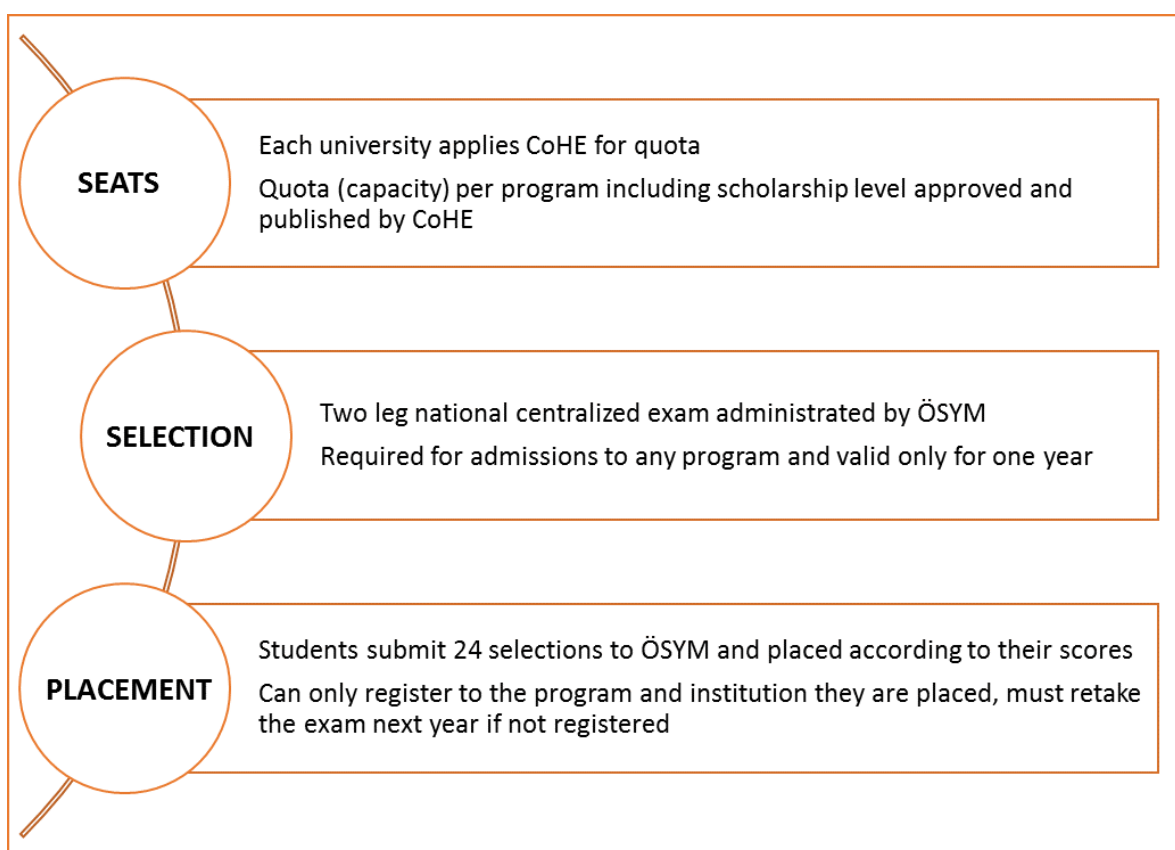


Figure 3 University Entrance System (Assessment, Selection and Placement Centre, 2016)

The regulations concerning transfer students, talent program (acting, music, etc.) students and international students are much more decentralized and each university sets its own policies and implements them without a centrally coordinated exam, but is still subject to adhering to the greater policies set by the CoHE.

With respect to graduate admissions, universities have almost complete autonomy and freedom in terms of their admissions policies. Students for post-graduate programs with a thesis are required to take either a national centralized graduate exam administered twice a year and submit a score set to the university. All other admissions requirements are set by the individual university.

The student selection and placement system is a good example of how the entire HE system is strictly governed and centralized. Similar to the governance aspect, there are discussions about liberalising the system, however the system has been under constant and arbitrary change without any significant level of institutionalized participation by the related stakeholders.

## **IV - Governance of Turkish Higher Education**

According to the Turkish Constitution and the Higher Education Law 2547 (enacted in 1981) the Council of Higher Education (CoHE) is the highest governing body for Turkish HE and reports directly to the President of the Republic. The constitution and related law endow the CoHE with the role of planning, organizing, administering, and supervising all HE related activities in Turkey. While the MoNE (and its Minister) represents HE in the parliament and can chair the meetings of the Council without voting power, there have not been clear and strong ties, nor official delineation of roles between the MoNE and the CoHE. It has been rather by default that the MoNE has focused on K-12, whereas the CoHE has focused on HE.

The Inter-University Council (IUC) is an academic advisory and decision making board, consisting of rectors and an additional member from each university. The current law that regulates the function and role of the IUC dates to this year, when the military was in power. The IUC provides advice and makes decisions in the areas of teaching, research and publication activities; however, all of its decisions need to be approved by the CoHE and in some cases the CoHE has overturned or changed the decisions of UIC. Indicative of this is the fact that UIC is physically located in the complex of CoHE next to its administrative units undermining its autonomy.

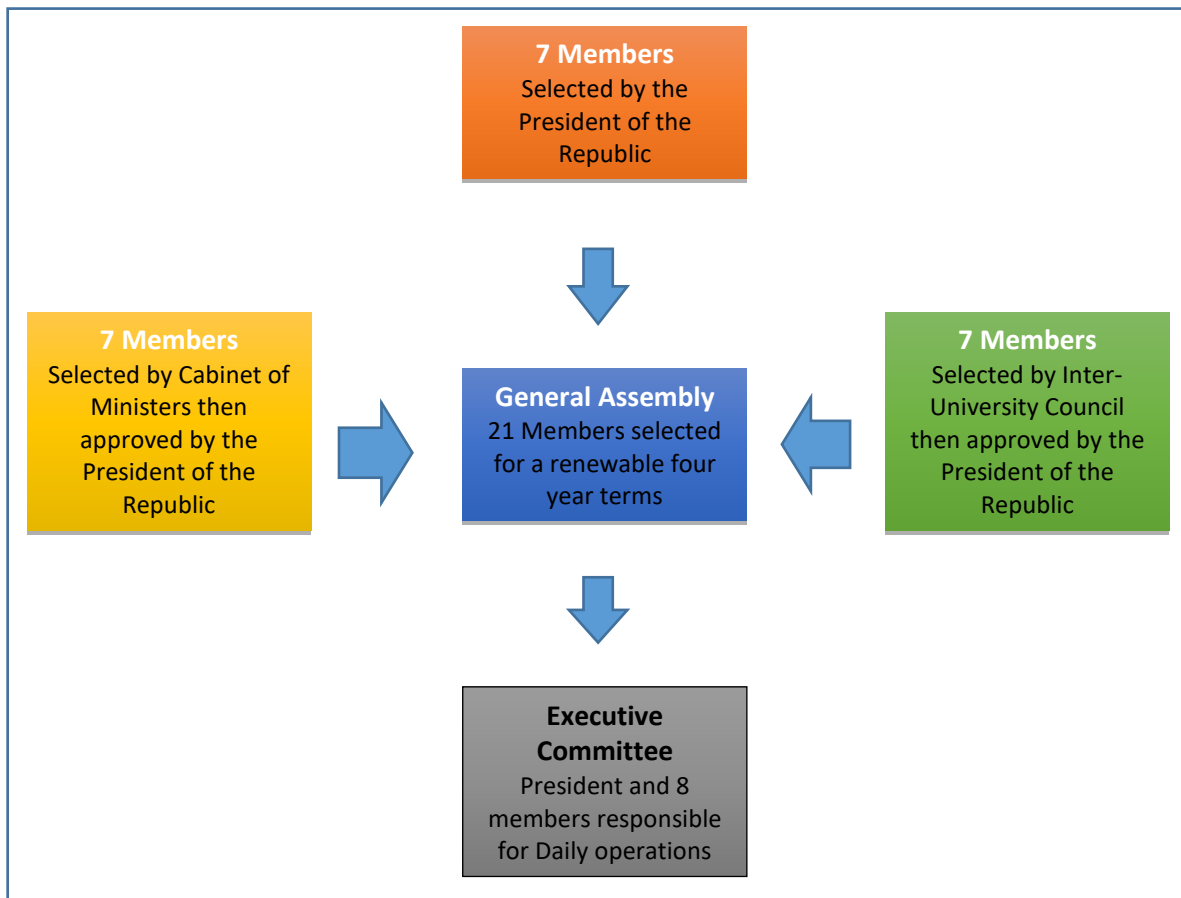


Figure 4 Structure of CoHE, 2016

The President of the CoHE is selected from amongst its 21 members by the President of the Republic. Such overriding rights of the CoHE on the IUC is another example of the issues related to autonomy and governance. Also, as shown in figure 4, even though the 14 members are selected by the Cabinet of Ministers and the IUC, all of these selected members need to be approved by the President of the Republic. Since he also appoints the president of the CoHE from among the members he approved, it shows the direct and overwhelming influence of the Turkish President on CoHE.

#### *a - The Key Governing and Decision Making Bodies at FUs*

With the exception of the Board of Trustees (BoT), all the governing bodies of FUs in Turkey are the same as those found in state universities and they are subject to the same regulations related to governance as state universities. The main responsibilities of the key governing and decision-making bodies in FUs are as follows:

**Board of Trustees (BoT):** The current legal structure identifies the BoT as the representative of the legal entity of the university and its president as the chief executive officer for the institution. Since the BoT system does not exist in state universities, the rector serves as the chief executive officer of a state university. All major decisions, encompassing academic, administrative and financial realms, must be approved by the BoT, and this includes items related to budgets, strategic planning, opening new programs, opening academic/administrative positions, etc. All of the top academic and administrative positions are identified and selected by the BoT including the rector, deans, and directors of schools; however, the CoHE needs to approve the rector and dean candidates before their appointments are finalized. Members of the BoT are selected by the founding Foundation for a term of four years. As the existing regulations and bylaws do not provide clear and comprehensive explanations related to the roles and responsibilities of the board, the BoT is a major factor in the governance of the institutions and will be explored more deeply in Chapters IV and V below.



**Academic Senate:** The senate serves as the academic organ of the university and all academic decisions are taken in this body. Certain decisions, such as opening a new program, require the approval of the BoT before being submitted to the CoHE for final approval. The rector, vice rectors, deans, school directors and selected academics from each faculty are the members of this academic senate and the rector serves as its president.

**University Executive Board:** This board assists the rector in implementing the decisions taken by the academic senate and the board of trustees, in addition to all other daily operations. In addition, the rector, all the deans and three selected professors from various disciplines serve three-year renewable terms. Additionally, each faculty, post-secondary school, post-secondary vocational school and institute have two boards similar to these university wide boards. These boards' responsibilities and their membership structures are explained in related regulations which apply to both state and FUs. The following figure (Figure 5) summarizes the major governing boards and key positions.

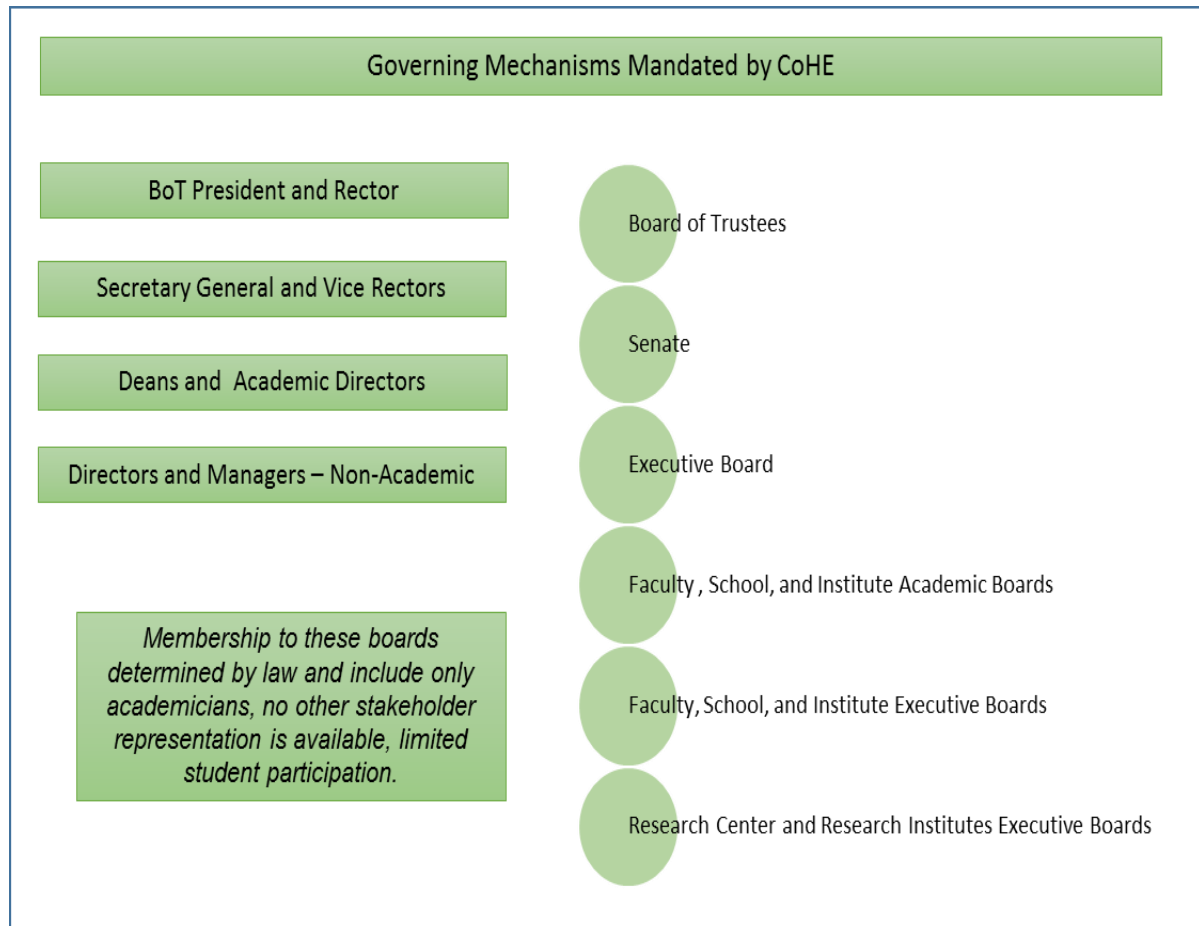


Figure 5 Governing mechanism mandated by CoHE, 2015

Both the Academic Senate and the University Executive Board require some level of shared governance on paper, but due to factors which will be examined in this thesis, a real shared governance with wider stakeholder participation cannot be seen anywhere in the system. Important stakeholders such as students, alumni, administrative staff, and research assistants are not represented in these boards due to the regulations.

## *b - Key Management Positions*

The key management positions of state and FUs, and their selection criteria, terms, and responsibilities as written in the regulations are as follows:

**President of the Board of Trustees:** The president of the BoT chairs this board, serves as the chief executive officer of the university and represents the legal entity of the University. The president is selected by the BoT from among its members for the renewable duration of his or her term. CoHE approval is not required; however, each board member must meet the requirements of being a government official listed in the law as described earlier.

**Rector:** While in state universities the rector is the representative of the legal entity of the university, in FUs the rector reports to the BoT where he or she is a member and ex-officio. The rector is in charge of all operations for the university. State university rectors are appointed by the President of Turkey from among the list of candidates provided by the CoHE. Each state university conducts an election and sends the top six vote recipients to the CoHE, but the CoHE has the right to change this list before sending it to the President and the President of the Republic of Turkey in turn has the right to choose any one from the list of three candidates presented by the CoHE. However, in FUs, the rector is selected by the BoT from among candidates who meet the minimum requirements set forth in the regulations. The board then submits their selection to the CoHE, seeking the approval of their nominee, the final stage in the process. As long as the proposed candidate meets the legal requirements, the CoHE approves the appointment.

Both Presidents of the BoT and Rectors play such critical roles in the governance of FUs. How they interact - and what management styles they utilise - become important factors in shared governance practices, as neither the HE culture, nor the regulatory environment of HE provide clear guidance on them.

**Secretary General:** The Secretary General of the university serves as the head of all non-academic operations, a role which can be equated to a chief operating officer. While it is not required by the law, many FUs include in their bylaws the requirement that the Secretary General must be appointed by the BoT.

**Vice Rectors:** The rector can appoint up to three vice rectors and assign various responsibilities to these individuals, such as research, teaching, student services, administrative affairs, community service and lifelong learning to assist him or her in managing the university.

**Deans and School Directors:** All these academic management positions are appointed by the BoT per the recommendation of the rector for a three-year renewable term. The Dean appointments must also be approved by the CoHE according to the regulations, to confirm whether they meet the minimum requirements listed in the law.

Furthermore, the heads of academic departments and research centres are appointed by the rector, and key administrative managers by the secretary general and the rector and in some instances the BoT approval might be required.

Due to the Board of Trustees' power over financial matters, the board's approval on opening any academic or non-academic position is generally viewed as *de rigueur*, however, in the selection and appointment of academic positions, FUs must follow the procedures listed in the law, which also applies to state universities.

### *c - Decision Making Process*

The decision making process in Turkish HE is highly regulated and the role of each major stakeholder is clearly identified in law, which is designed especially for state universities and modified for FUs. The regulations provide a clear separation of power in terms of major decisions and give more power to the top of the university management.



*Figure 6 Decision making process, 2015*

As explained in the figure above, the BoT is expected to be involved in strategic and financial decisions, in other words replacing the CoHE's role for state universities. The regulations require the involvement of the academic staff in decisions related to academia in a restrictive way and encourage a limited shared governance. However, the enactment of regulations, which are very general, is also a function of institutional culture and traditional practice which, as will be discussed later, have the effect of limiting, or negating any real involvement by other

stakeholders. The regulations only provide for a very general legal framework without any prescribed details, which causes some of the actors in the system to carry greater weight and importance; this thesis will be examining these roles and their impact on the shared governance practices.

## **V – Conclusion**

The Turkish HE system and one of its most significant components, Foundation Universities (FUs), have been undergoing important and radical changes in recent decades. These changes in the HE market in general and in FUs in particular have put governance in the middle of all discussions affecting them. Since the system of Turkish HE is designed for smaller and similar types of institutions with very low participation rates, the rapid growth in the HE sector has placed additional stress and pressure on the regulations and CoHE, a factor which is discussed in detail below. As the FUs emerged, beginning in 1986, the complexity level of the system has grown, and the increasing number of FUs has been a major factor in the debate about the governance of the HE system and of individual institutions.

An effective and participatory governance system for FUs is critical to their sustainability, although as was demonstrated above neither historically nor institutionally is there any indication of the presence of an established framework for shared governance, and it is precisely the aim of this study to discuss the factors preventing the establishment of shared governance practices in Turkish private (foundation) universities and to offer some concrete policy recommendations accordingly.

## Chapter II – Literature Review

### I - Introduction

In this chapter, a review of contemporary literature is summarized to make better sense of the factors preventing the establishment of shared governance practices in Turkish private (foundation) universities. As will be clear below, there is a marked lack of research on shared governance in Turkish HE, and next to none on shared governance in FUs. Furthermore, the literature review establishes that neither shared governance nor governance per se generate widely agreed upon definitions or perspectives in the Turkish HE system.

The chapter starts (in section II) with a review of the literature on governance concepts, then explores further good governance and its elements, identifying participation as one of the most critical and important aspects. Section III then links good governance to HE overall, through shared governance and its participatory features. In section IV the concept of shared governance is discussed by reviewing the related literature on its definition and desired goals, as well as the importance of different features of institutions on the application of this model. The section elaborates further on the importance of balance and stakeholder management and discusses calls in the literature for change in shared governance. Due to problems associated with the incompatibility of collegial and corporate models the literature review turns to more contemporary models that propose a hybridization - or fusion - of these two models.



In section V, the literature on HE governance in Turkey, specifically in FUs is reviewed and discussed. In this discussion, the limited research published to date reveals the uneven impact of the current HE Law's centralized and restrictive nature on how the system and each institution is governed, on the autonomy issue of the institutions, as well as on the entire HE system. The literature on the overarching power of the rector and the impact of this power on the governance of institutions, resulting in ineffective regulations and poorly-mandated governing bodies - taken together with a low level of student participation in governance - are also further discussed. These discussions not only include scholarly articles, but also reports prepared by national and international agencies. It shows that the literature on FUs also suffers from the same lack of research, while at the same time there is limited identification of the problems or issues in governance in the context of the roles of boards of trustees and again, rectors.

## **II - Governance and Good Governance**

The policy brief on the ‘Principles of Good Governance in the 21<sup>st</sup> Century’ by the Institute on Governance starts by underlining what governance is not, saying that “governance is not synonymous with government” (p.1.), which has been a point of confusion, since the definition of governance can be complex and a variety of definitions is possible. Governance is defined in the same policy paper as a process (procedures, policies, regulations, agreements) which outlines where the power is held, how the decisions are made, how the decisions are implemented and who is accountable for those decisions (Graham, Amos & Plumptre, 2003 and Sheng, 2009). Some scholars and reports by international agencies also define governance as the way decisions are made, how resources are allocated, and what types of monitoring mechanisms are created (Higher Education Governance in Europe, 2008; Grindle, 2010 and Rose-Ackerman, 2016).

Similar concerns and issues also crop up in the wider area of HE, where governance is referred to as the process of how policies are established, how the main strategic decisions are made, and how rules and regulations related to stakeholders’ involvement in decisions are created in HEIs (Hirsch & Weber, 2001 and Kezar & Eckel, 2004). Various other scholars explain governance in HE as the process, sets of rules and the standards applied and upheld in governing institutions and systems (Clark, 1983; Braun and Merrien, 1999; Kogan & Hanney, 2000; Currie, 2003; Kehm & Lanzendorf, 2006; Kohler & Huber, 2006; de Boer, et al., 2007; and

Santiago et al., 2008). These studies demonstrate that there is a broad convergence in the literature on a basic working definition of governance in HE.

The good governance concept began to appear at the end of the 1980s with the collapse of the Soviet Union and developments on economic and political fronts, such as increased urbanization, technological innovations and the development of new social movements related to the environment or human rights (Toksöz, 2008 and Maldonado, 2010). In particular, the need for sustainable and effective governance prompted wide-ranging discussions on the principles of good governance. In addition to accountability, transparency and rules of law, participation has been identified as one of the most critical elements of good governance. The concept of good governance developed primarily as a reaction to increasing corruption, which became a major obstacle to sustainable development, and as a way of addressing economic and political crises. As a result, several major international initiatives were launched by the United Nations (UN), Organization for Economic Cooperation and Development (OECD), International Monetary Fund (IMF), World Trade Organization (WTO) and various other organizations to promote good governance (United Nations, 1992; Camdessus, 1997; Baizakov, 2008; Piewitt, 2010 and Akhmouch, 2012). The 1996 Habitat II conference in Istanbul was a turning point for Turkey and introduced the elements of good governance to Turkey. It was after this important event that the government began to consider civil society as stakeholders (Toksöz, 2008). While civil society as stakeholders has always been in the centre of discussions on good governance in Turkey, as democracy has never

been fully consolidated in the country, the stakeholders in civil society have never been acknowledged as active and indispensable stakeholders in governance.

Weiss and Steiner (2010) correctly observe that these international initiatives, mainly sponsored by the United Nations Development Program (UNDP), the World Bank Institute and the Organization for Economic Cooperation and Development (OECD), have approached the concept of good governance and have singled out participatory involvement as a key feature. Similarly, participation is also listed as one of the five principles of good governance in the white paper on European Governance by the European Commission. Indeed participation is emphasized as one of the basic elements among seven others necessary for good governance by the Turkish Economic and Social Studies Foundation (TESEV), as presented below in Figure 7 (EU Commission, 2001 and Toksöz, 2008). While the report of TESEV provides insights into the general political requirements for a better and democratic governance, it suffers from a lack of focus on the cultural and institutional specificities, remaining at a very general and abstract level.



*Figure 7 Basic Principles of Good Governance by TESEV, Toksöz, 2008*

The importance of participation in general - and stakeholder participation in particular - in decision making has been widely discussed by several scholars as a critical and essential feature of good governance. (Schuster, et. al., 1994; Graham, Amos & Plumptre, 2003; Grindle, 2010; Davis & Radford, 2014; and Rose-Ackerman, 2016). The continued importance of participation as a feature of good governance re-emerged, when it came to prominence in the recent G20/OECD Principles of Corporate Governance document endorsed by the leaders of the G20 in 2015 in Turkey. In this recently published document, the G20/OECD lists stakeholder participation in governance and stakeholders' right to access reliable and relevant

information on a regular and timely basis as major principles (OECD, 2015). This is incidentally indicative of Turkey's continuous interest and participation in these international institutional events, as well as being vocal regarding the merits of participation and good governance. However, this does not automatically translate into the development of good governance mechanisms within Turkey itself, remaining nominal and formally on paper most of the time.

At the more particular level of HE governance, the role of stakeholders and their importance in the pursuit of more effective and balanced governance has been emphasized by many (e.g. see Birnbaum, 2004; Santiago et. al., 2008; Berndt 2009a & 2009b; Kezar & Eckel, 2004 and Hendrickson et.al., 2013). Kezar and Eckel (2004) furthermore argue that structures that include stakeholders are not enough; stakeholders need spaces to discuss and work through complex issues. Changing cultures to provide the space for stakeholders to interact and work on critical issues is even more challenging in the hierarchically inclined Turkish system. Throughout their professional careers as practitioners and academics, Hendrickson et.al. (2013) emphasise the role of leaders in creating an environment conducive to the participation of stakeholders, and they define good leadership as requiring the articulation of clear vision, followed by the promotion of partnership and the empowerment of stakeholders, in order to fully contribute to the debate and the achievement of mission. In their study, Ott and Mathews (2015) share their findings from interviews with 20 chief academic officers from different types of HEIs in the U.S., who frequently cite stakeholder participation as the key to successful academic governance. The proponents of good governance in HE, as well as in public or

corporate realms, promote the same key elements of participation and involvement of stakeholders, alongside accountability and transparency. As good governance practices dictate, the active and effective involvement of both internal and external stakeholders in governance is essential, and within HEIs no organization can or should avoid such involvement.

Governance discussions in Turkey cannot be isolated from several coups d'état, including the most recent failed attempt in July 2016, and the effect of each coup on the political, economic, and social life of Turkey. While these have impacted all aspects of life, it is the development of a participatory governance culture that has perhaps been among the hardest hit, as authoritarian and centralized policies often drown out the different voices seeking to be heard. Despite improvements in stakeholder participation, the same political challenges have shaped, and their results continue to shape, individual institutions and the Turkish HE system overall. These impacts and how they influence the establishment or protection of barriers hindering the emergence of shared governance practices in Turkish Foundation Universities will be discussed further with the findings of this study.

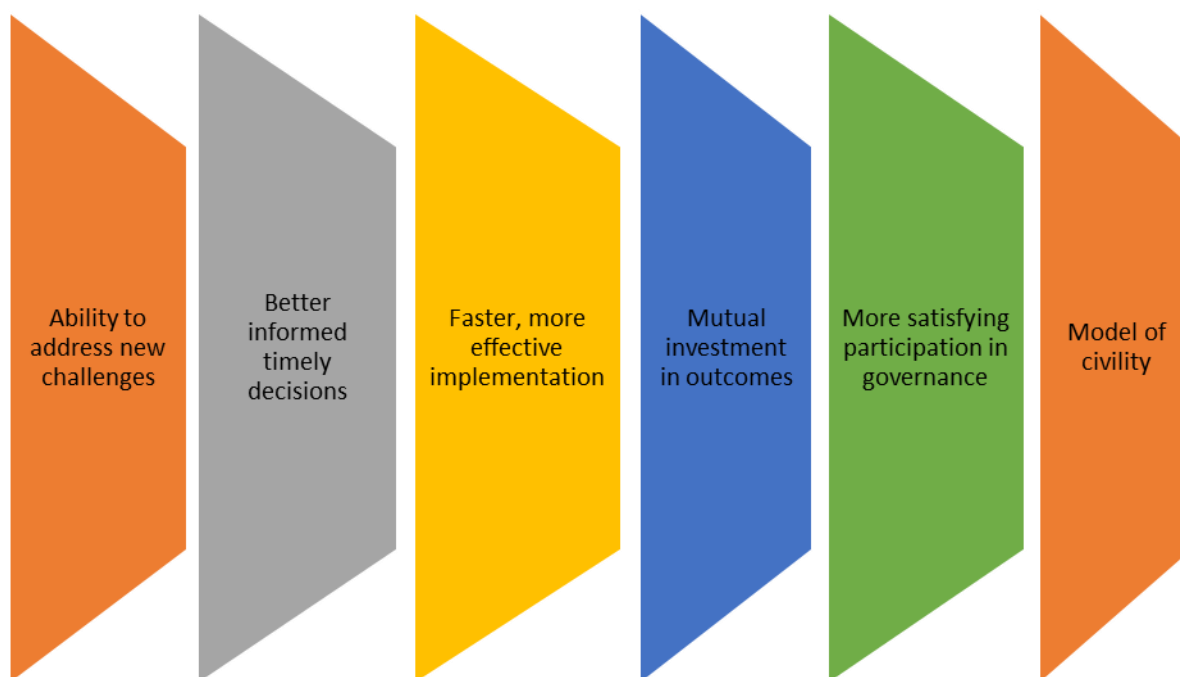
### **III - What is Shared Governance in HE? What is at stake?**

It is generally accepted that the 1966 joint statement by the American Association of University Professors (AAUP), the American Council on Education (ACE), and the Association of Governing Boards of Universities and Colleges (AGB) on university governance laid down the principles of shared governance and was the starting point for many discussions (American Association of University Professors, 2001). The important themes of this statement, in addition to its being issued “jointly”, are its encouragement to involve all parties in governance and not only to recognize the different weight of each, but also the necessity to institutionalize the way these voices are heard (American Association of University, 2001; Birnbaum, 2004; Backer, 2012 and Jones, 2012). Birnbaum (2004) and Backer (2012) underline the changing environment of HE as one which forces institutions to adapt by changing their governance models; however, they also suggest that academics should be autonomous and empowered in their core work, as well as being active participants in other aspects of the university. It is critical that the AAUP statement identifies faculty as the primary group in charge of academic matters, but also requires their participation in more general, but crucial decision making areas of the university such as budget, strategic planning and institutional objectives. The roles of each stakeholder, as well as what is expected from them, remain ill-defined in Turkish HE. This is valid both for public and particularly for FUs (especially for BoT and academics). Chapters IV and V will elaborate on the implications of these uncertainties.



This traditional shared governance model is defined as having a role for everyone - although this does not mean that each party will be involved in each step of every decision - with the idea that this will add to the quality of the decision making process and ultimately to the decisions made. In this joint governance model the critical governing bodies and stakeholders – particularly the academics - work together in a relationship built on communication, trust, openness and collaboration (Johnston, 2003; Olson, 2009 and Stensaker & Vabø, 2013). Working on Nordic universities, Stensaker and Vabø (2013) argue that too great an emphasis on leadership, such as is found in the work of Hendrickson et.al. (2013) above, and too little on cultural and symbolic aspects of governance may be deleterious to trust and openness in times of change, such as that facing HEIs around the world currently. Collaborative governance and maximum and effective participation by the key stakeholders are the key pillars of the shared governance model. Conversely, the 1998 AGB's *"Statement on Institutional Governance"* (AGB, 1998) is considered a push back, seeking to limit the active involvement of academics in certain issues (Bowen and Tobin, 2015). Additionally, Bowen and Tobin (2015) discuss moving away from rethinking shared governance as a whole to considering genuine collaboration among academics and other stakeholders. Again, they place the responsibility for creating such an environment not only on the leaders of the institution, but also on academics, who need to work on collaborating rather than throwing limitless amounts of sand in the wheels. The AGB addressed the changing environment of HE and published another report in 2010, but limited it to the role of boards in governance (AGB, 2010).

The critical goals and features of shared governance mentioned above have also been discussed by Bahls (2014) in his comprehensive overview on the goals of shared governance. As summarized in figure 8 below, he lists the major goals of a shared governance model for HEIs.



*Figure 8 Goals of shared governance by Bahls (Bahls, 2014)*

Bahls (2014) proposes that these expected goals of shared governance provide an outline to aid institutions in addressing new challenges more quickly and effectively while promoting participatory governance from which stakeholders will derive much greater satisfaction.

In order to achieve the goals listed above, several scholars have cited balance as an important component of an effective shared governance mechanism. Hénard and Mitterle (2010) discuss balancing shared governance between the

internal and external relations of the university; Johnston (2003) focuses on balancing power among the internal stakeholders; Heaney (2010) describes the important and sensitive nature of balancing between authority and responsibility; while Olson (2009) calls for a maximum balance between accountability and the highest level of participation in quality decision making. Tierney (2004; 2005a; and 2005b) on the other hand, explores the balance between trust and leadership by examining the relationship(s) between academics and the board of trustees. As indicated by these various notions of balance between a variety of factors, balance becomes a multidimensional and complex concept. In fact, balance is achieved only as a result of the interaction of these various factors including trust, openness to the ideas of others, collaboration, as well as shared vision.

In order to achieve this critical balance and ultimately more effective shared governance, several scholars added to their studies the complex nature of governance, acknowledging that it is influenced greatly by the characteristics of the institutions and the systems in which they operate. Features such as mission, history, size, and regulations play critical roles in the selection and implementation of a school's governance model, as no standard shared governance model can apply to all. Institutional culture is also listed as an important element in how selected governance models may be applied and considering the wider cultural context further helps to highlight the differences that exist inter-institutionally or from one national (HE) system to the next (Tierney & Minor, 2003; Birnbaum, 2004; Tierney, 2004; Fish, 2007 and Hénard & Mitterle, 2010). The for-profit status of an institution is also a significant factor in how shared governance is applied, such that Pusser and Turner

(2004) argue that in for-profit schools it is rare to find academics actively involved in governance, as they view their positions similar to employment in a private company. This is in direct opposition to non-profit schools where academics view themselves as an integral part of the decision making process, as stakeholders not only who should, but who must play a role in governance and the overall milieu of the school (as cited in Ehrenberg, 2005). Birnbaum (2004) also takes a similar position, as in his categorization, academic and market institutions will have different reactions towards shared governance, in that market institutions, as profit-driven entities, do not need to have full-scale shared governance. It is quite possible that academic staff may act as stakeholders, while the administrative and support personnel view themselves as regular employees in FUs. This may also be the case in Turkish public universities, although it is likely to be markedly more visible in Foundation Universities (Vatansever & Yalçın; 2015).

The various features of HE systems and institutions discussed above also impact the stakeholders – those who can affect or are affected by the actions of the university, as defined by Nutt and Backoff (1992) - and their weight on the governance of each institution. Since the active participation of stakeholders in governance is the key element of shared governance, several scholars have emphasized the importance of identifying the role(s) of varying internal and external stakeholders and giving them the necessary attention or guidance to facilitate their active involvement in strategic decision making (Akonkwa, 2009; Benneworth & Jongbloed, 2010; Hénard & Mitterle, 2010; and Kettunen, 2014). Regardless of the discussion about whether students are the customers or the products of an institution,

their involvement in governance has been also widely discussed and listed as key to an effective governance system (Boland, 2005; Miles, et. al., 2008; and Michelsen & Stensaker, 2011). Additionally, due to changes in the environment in which HE institutions operate, they have been required to revisit how they identify and categorize their stakeholders, as well as how they manage themselves (Maric, 2013).

In the limited literature on stakeholder management in HEIs, research by Chapleo and Simms (2010) proposes universities should consider and approach their stakeholder policies according to their “*potential impact on the strategic direction*”, “*student recruitment and satisfaction*” and “*financial implications*” (p.19). Other studies in largely developed contexts show how the stakeholders for HEIs have changed and in particular how the roles of students and external stakeholders such as employees, non-governmental organizations, and accreditations have increased significantly (Alves, Mainardes & Raposo, 2010 and Hénard & Mitterle, 2010). Furthermore, increasing competition and internationalization have reshaped the stakeholder approach for HEIs (Mintzberg & Rose, 2003). Similar forces are observable as putting pressure on Turkish Foundation Universities to recognize and include stakeholders in their decision making; there are, however, countertendencies operating in Turkey that hinder the emergence of this inclusive and collaborative approach, as will be discussed further in Chapters IV and V.

The shared governance model has been an important and unique element of developed HE systems, and originated due to the desire of academics to be more actively involved in major decisions at their institutions. This governance

model, as described in the joint statement by AAUP, ACE, and AGB in 1996, clearly shows the importance of a collaborative and participatory form of governance for HEIs. In order to achieve the goals listed by Bahls (2014), then, scholars have argued for the importance of trust, as well as the need for transparent and open communication among stakeholders.

Scholars also emphasize the different characteristics of each institution and the HE systems in which they operate, such as the size, history, culture, regulatory environment, profit or not-for profit status, and how these features affect the way shared governance models can be applied. They also argue that changing stakeholders and their importance to HEIs require schools to modify their approach, in order to address the needs and demands of these changing stakeholders.

With respect to Turkey, the current HE regulations do not outline and mandate significant levels of shared governance, and there have not been any discussions, or at least any published research about the development of shared governance in Turkey. As indicated above, the features and characteristics of the system and HEIs play critical roles in how shared governance is applied and that is why this study will examine the impact of Foundation Universities' private, but not for profit status (being non-profit but private), as well as their other features. The study also aims to elaborate further on stakeholders of FUs, as the environment in which they operate is constantly evolving and those parties affecting it and being affected by it are ever changing.

## IV - Contemporary Debates on Shared Governance in HE

Universities and the HE systems in which they operate will continue to change, and they must change and adapt to accommodate the new challenges and demands of their stakeholders and environments. As HE itself changes and institutions begin to operate in more dynamic settings, questions and critiques on the shared governance concept continue to emerge and grow. In today's world, radical changes in society challenge the governance of social institutions, including universities – a condition Barnett (2000) describes as the age of supercomplexity. There have been various discussions and calls for change to shared governance in HEIs due to changes in the environments in which they operate.

Emile Durkheim, a founding father of sociology, offers one of the most concise interpretations of the problem at hand:

*“It is rare to find an institution which is at once so uniform and so diverse; it is recognizable in all the guises which it takes, but in no one place is it identical with what it is in any other. This unity and diversity constitute the final proof of the extent to which the university was the spontaneous product of medieval life; for it is only living things which can in this way, while fully retaining their identity, bend and adapt themselves to a whole variety of circumstances and environments” (Durkheim cited in Clark, 1998, p. xiv).*

In the 1990s, many scholars and experts expressed strong criticism of the traditional shared governance model for its failure to respond to systemic and environmental changes in HE, resulting in missed opportunities for institutions (Benjamin et. al., 1993 and Schuster et. al., 1994). Building on these debates, Crellin (2010) argues for the need for change to the model and focuses on both external and internal factors, such as the changes in the relationship between government and public institutions with respect to accountability, declining funding (and an increasing emphasis on other revenue), globalization and a changing academic workforce, as reflected in the increasing numbers of non-tenured and part-time faculty.

It needs to be added that while the call for a change to the traditional shared governance model is a commonly accepted reality, many experts reject the claim that slow decision-making at universities actually hurts universities. They argue that thorough discussions among the stakeholders and the joint decisions that ensue are invaluable to the reliability and the trust within the university and help avoid long-term challenges (Birnbaum, 2004; Bok, 2005; Berndt 2009a & 2009b and Hendrickson et.al., 2013). However, this creates a tension in a fast changing environment where universities increasingly feel the need to be more business oriented and agile to accommodate change.

Shattock (2002, 2012) approaches the governance model from a UK perspective, reiterating that academics are the centre of the business core, as it is they who develop and deliver the courses that are essentially the products and services offered by universities to their students. According to Shattock (2012) no model that



does not include the substantial involvement of academics is truly viable for universities and due to the unique characteristics of individual universities their governing models must reflect this. He identifies a good governance triangle as including academics, the governing body and the executive branch in decision-making, citing all three as crucial to an effective governance system in which collaboration is key. The good governance triangle he proposes (Shattock, 2012, *p.61*), with effective communication among key players a critical component, provides the main principles for a balanced system to which Foundation Universities should aspire, although it does not include any role for students or parents. All those who call for a new type of shared governance model stress the importance of communication among the key actors. The flow of information, undisturbed communication among the stakeholders and unfiltered access to the board of trustees for faculty have all been discussed by the scholars and their importance in an effective shared governance model considered extensively: Hendrickson et. al. (2013) and Lachs (2011) share case studies in developing systems on how to achieve these. Additionally, Shattock (2012) finds both the corporate model (lay dominance) and the consensual model (academic dominance) effective and calls for balanced governance, wherein the joint committees and joint groups serve as key mechanisms to close the gap between stakeholders. After reviewing several models of governance Lapworth (2004) constructed a model of shared governance in which attention should be given to strong steering committees which allow key stakeholders to work together and to the role of academic departments in governance.

From a perspective similar to those mentioned, Birnbaum (2004) defines

institutions according to their desired end and labels them either academic or market institutions. In this classification, career and employment focused for-profit institutions are considered market institutions, whereas non-profit and state universities are considered academic institutions with a focus on graduating educated citizens. He argues that market institutions require corporate governance, whereas academic institutions require shared governance with some corporate practices in areas such as planning, budgeting, and certain administrative aspects, and crucially, he is clear in emphasizing that one is not necessarily better than the other.

The changing environment of HE has also instigated calls for change in the literature of shared governance in higher education. For example, Duderstadt (2004), Lapworth (2004), and Bowen and Tobin (2015), all argue that the limited involvement and focus of academics on strategic items, as well as their low levels of participation, are major shortfalls in today's shared governance systems. The critical and important role of academics in governance, especially in areas such as strategic planning (Shattock, 2002, p.240), must be acknowledged and ensuring academics are at the centre of the majority of decisions is vital. Most of the factors presented as responsible for deficits, as well as their arguments asserting the imperative for academics being involved in balanced shared governance, actually apply to all types of institutions (Duderstadt, 2004; Lapworth, 2004; and Bowen & Tobin, 2015;). While Bowen and Tobin (2015) argue that academics should take the lead in creating an environment in which they are involved in all critical decisions related to the institution, Duderstadt (2004) by contrast argues that academics should focus more on issues of direct academic concern.

Emphasizing the need for a change in shared governance, and critical of practices where academics dominate the decision making process, Taylor (2013) contends that academics are neither informed enough, nor equipped with the power or authority enough to cope with these changes on their own. He maintains that “*self-governance of scholars, by scholars for scholars*” is no longer a valid option and goes on to argue that the solution is not to abandon their participation, but to invest time to better understand how to create a culture in which balanced shared governance can thrive. The importance of meaningful and effective academic involvement in governance is also emphasized by John Lachs (2011), who criticises current shared governance practices, where academic department heads and even deans control the outcomes of shared governance committees and deliver only decisions which will be accepted by the administration. His evaluations mainly address the administration, and he recommends more direct contact between boards of trustees and faculty. Closely related to this, is the tendency among academic administrators to pre-empt the decision making process, thereby undermining the vibrancy and dynamism of a more participatory and deliberative form of governance, as will be discussed in Chapters IV and V below.

As a result of these discussions, which have become more numerous and more in depth due to the changing environment, various experts and scholars (Birnbaum, 2004; Lapworth, 2004; and Crellin, 2010) have called for a balanced shared governance model and have concluded that HEIs will provide better results when they incorporate collegial and corporate approaches to creating a balanced relationship, one in which Fish (2007) likens HEIs to “*academic enterprises*” (p. 10).

In order to achieve a balanced governance style, one which unites collegial and corporate approaches and brings their best practices together, it is suggested that communication and trust among the key stakeholders are perhaps the most important factors influencing successful governance. Crellin (2010), for instance, describes shared governance committees as “*sanctioned vehicles of collaboration*” (p. 71) and joins the call for change and innovation, as he, too, identifies shortfalls within the traditional model. Similarly, Berndt (2009a & 2009b) shares a case study from Miami University on how to achieve an efficient and effective committee structure through reform. He also suggests that reform of traditional shared governance will help it evolve from the “*raw struggle for power*” (p. 96) it has been in many institutions.

Indeed, Shattock (2002) was one of the first to suggest that higher education institutions could function more effectively when adopting a mix of a corporate approach and a collegial approach in governance work, acting as partners to establish greater balance. While such a hybrid model (Crellin, 2010) has been referred to as an answer to the changing environment and demands upon universities, other experts underline the importance of the role of each institution’s individual characteristics in how such models can be implemented. On the other hand, bringing two approaches together to create a hybrid model might address the challenges universities face, but it might also create tension and act as a barrier to the development of trust and good communication.

Lapworth (2004) and Crellin (2010) with practitioner backgrounds and Taylor (2013), an expert research academic, are among several scholars who consider how traditional shared governance dominated by the collegial model falls short in addressing those challenges - changes in the relationship between government and public institutions with respect to accountability, declining funding, globalization and changing academic workforce (Crellin 2010) - in today's complex sectoral context for HEIs. Regardless of the type of school, and the markets in which they operate, HEIs must have a balanced approach to their governance, wherein certain collegial values and roles remain at their core, while the proven business practices which institutions and their markets require are implemented.

More recently, Bahls (2014), who also calls for changes in traditional shared governance, identified several different barriers to an effective shared governance system. Trust among all key stakeholders - such as the board of trustees and academics - is an important element in effective shared governance, and its absence is categorized by Bahls as an attitudinal barrier. He also stressed that certain behaviours by these groups can result in the loss of trust and motivation, calling these behavioural barriers. In addition to these two categories, Bahls (2014) lists ineffective faculty governance, administrative and board structures, and incomplete, outdated, or ignored governing documents as structural barriers presenting significant roadblocks towards effective shared governance.

As presented above, the need for change in shared governance practices has been discussed extensively by many scholars, the majority of whom cite the

numerous changes in the environment in which HEIs operate as the major impetus behind this upsurge. Factors such as changes in funding structures due to declines in state funding, increased demand from institutions by the public, greater accountability and transparency from accreditors and regulators, increasing competition and changing market dynamics, as well as changes in the academic workforce (tenure, full time, part time, adjunct), have all served to increase the calls and discussions to change traditional shared governance.

In Turkey, governance discussions have not captured much attention, and particularly not in the 1990s and 2000s when FUs were in their infancy, as Turkish private HE operate within a framework overburdened by regulatory, economic, operational, and political conditions. Effective shared governance, however, relies upon the active participation of different stakeholders and close, operational relationships among key groups in university governance, including working groups, subcommittees and particularly among boards of trustees and academics. The factors impeding this flow in Turkish FUs, and the resultant challenges that have emerged due to the mixed roles of executives and boards of trustees, are areas ripe for discussion.

Furthermore, the discrepancy between Turkish FUs, legally structured as not-for profit, yet operating as for-profit entities, poses unique challenges, as do the realities of operating within the context of the highly charged political environment in Turkey and under the oversight of the CoHE. The political factor dominates the actions of boards of trustees and it is an oversight factor to both Turkish academics

and administrators – but not always board of trustees members - are finely attuned.

Thus, discussions on contemporary shared governance models and systems of HE should have greater contributions from Turkish Foundation Universities. While the background literature presented above on contemporary shared governance models does not directly address conditions in Turkey, it does provide an outline for the space of this study. It has become evident that the practical application of shared governance in Turkey, due to the unique characteristics of Turkish FUs (culture, politics, regulations, market dynamics, maturity) has been hitherto understudied. This analysis will link these discussions with the findings in a Turkish context in an attempt to identify the factors hindering the establishment of shared governance in Turkish FUs. This is done in the hope that bringing them to light might influence those who could enact change and enable Turkish institutions to better serve all their stakeholders and to thereby become a still more significant force in global HE.

## **V- Governance Discussions in Turkish Higher Education**

In the Turkish HE system academic activities are either conducted in academic programs or in research and application centres organized within universities. The strong, independent, non-governmental professional oversight and policy advocacy agencies related to HE that exist in the United States, United Kingdom or in Continental Europe do not exist in Turkey. Peer-reviewed journals and conferences, which provide the impetus and the forums for the wealth of published research on the topic of HE in the West, are far more limited and reserved in their criticisms of the systems and policies of HE in Turkey. Furthermore, the graduate level work that dominates much of the research produced on HE in the West is almost non-existent in the Turkish HE system. Of the academic degree programs reviewed for the 2016-2017 academic year in Turkey, it appears there is no state or Foundation University offering a doctoral degree in any area related to HE and there are only four master's programs related to HE leadership, all of a limited capacity and scope. Over one thousand research and application centres, established in universities where research, publications and other academic related activities are conducted in Turkey, have been reviewed. As of the beginning of 2016 only the HE Studies Application and Research Centre at Bulent Ecevit University was found to be semi-active, with very limited work focused mainly on pedagogical issues and none on governance in HE.



Those few scholars and experts who have studied Turkish HE, especially governance issues in state or FUs, always place the current HE law and the role of the CoHE at the centre of their discussions (Ergüder, et. al., 2009; Tekeli, 2010; Mızıkacı, 2011; Erguvan, 2013; Çetinsaya, 2014b; Çelik & Gür, 2014a; Celep & Tülübaş, 2015; and Gür, 2016). While Ergüder, et. al., (2009) provide specific recommendations on the regulations affecting universities specifically, others discuss the impact of regulation on the Turkish HE system. The highly regulated and centralized nature of the system has been widely criticized and presented as a barrier to resolving various problems in HEIs and the system as a whole, however not many researchers have chosen to explore this issue through in depth studies or by offering specific recommendations. Akin and Ulusoy (2016), in a comprehensive survey across 17 Turkish HEIs, linked this organisational silence to institutional regulations (and linked academic silences to burnout), but they felt that to really understand the relationship a qualitative study is needed. As briefly discussed in Chapter I, current regulations provide a strict and limiting framework for state and Foundation Universities wherein governance discussions, which might seek to consider and promote change and improvement, remain seriously challenging.

Closely related to the HE law and the role of the CoHE is the question of autonomy of the Turkish HE system on individual institutions, all of which impact their governance closely. The lack of autonomy and the strength of centralized decision making structures which followed the 1981 Higher Education Law have been discussed since its enactment; however, since 2000, further written documents and reports have been generated calling for change to increase autonomy for the national

system as a whole, as well as for institutions and their management. Among these, Çelik and Gür (2014a) presented a powerful argument for greater financial commitment to help meet the huge demand for university places in Turkey and emphasized the importance of placing this alongside the urgent need for significant improvement in governance in HE. In another study, Çelik & Gür (2014b) also discussed the need for reforms in the management of the HE system to improve autonomy; however, they fell short of linking these system wide proposed reforms to institutional ones. The recent report published by several former CoHE members, and former rectors of state and FUs in 2014 (Batirel, et. al., 2014) stated repeatedly the importance of academic freedom and autonomy and called for legal changes to assure these for all universities. In this report, the group called for changes in the governance of the system, but without promulgating any specific arguments regarding FUs, nor policy suggestions for improving institutional governance. However, the changes recommended reflect the desire for and would have the effect of increasing the autonomy of institutions and do provide a first step towards developing effective collaborative governing models.

The issue of the autonomy of Turkish universities was also featured in an international report published by the EUA (Estermann, Nokkala, & Steinel, 2011). In this report entitled *University Autonomy II in Europe*, the HE systems of 29 countries were analysed according to the following four criteria: organizational, financial, staffing and academic (Table 3). While the results for the Turkish HE system are perhaps more relevant to state universities, it should be considered that FUs are subject to the same regulations in many areas, which makes these results quite

relevant, and shows the important challenges FUs are facing regarding autonomy and how these challenges affect governance. Unsurprisingly, due to the highly centralized governance model of the Turkish HE system, it is ranked in the bottom percentile.

Turkey's Place in University Autonomy in Europe (out of 28 countries)			
Organisational	Financial	Staffing	Academic
27th	22nd	21st	25th

*Table 3 Turkey's ranking on University Autonomy in Europe (EUA, 2011)*

Institutional autonomy discussions have also focused on the role of the rector, as the 1981 Higher Education Law continued to permit rectors of both state and Foundation Universities to exercise supreme authority, albeit under the strict control and guidance of the CoHE. As discussed in Chapter I, rectors of state universities are selected by the President of Turkey from among the six academics ranked by the CoHE who received the highest number of votes from their peers within the ranks of their respective universities. While the CoHE can itself change the ranking, regardless of the number of votes received, the President can also appoint any one of the six candidates proposed. In Foundation Universities the BoT appoints the rector upon the receipt of confirmation from the CoHE.

The role of rectors in general has been widely discussed; however, due to the way universities are structured and governed, these discussions are closely related to governance models put forth by several researchers (Doğramacı, 2000;

Mutlu, 2009; Çankaya & Töremen, 2010; Günay & Kılıç, 2011; Çelik & Gür, 2014a and Celep & Tülübaş, 2015). Among them Doğramacı (2000), the first president of the CoHE, has argued the importance of the appointment of rectors by the Board of Trustees, rather than their selection by academics. In his defence of this idea, he states that election will weaken the authority of the rector and inhibit decisions which might cause a loss of popularity and eventually the next election. In contrast to Doğramacı's strong position on the appointment of rectors, Çelik and Gür (2014a) recommend a selection system in which full time faculty vote for the rector. They defend a more traditional collegial governance model, wherein academics play a much more important role and should be at the centre of every major decision, with full authority and voting rights.

The discussion about the governance of the system and institutions in Turkey has begun to expand beyond regulations and rectors to other important elements of governance. To date, the only publication which considers the governance and management of HEIs in Turkey is a book written by Cevat Celep and Tijen Tülübaş in 2015. In it they reviewed and summarized the different governance models and leadership styles of a variety of international HE systems using a general, yet descriptive approach. It is an interesting overview of shared governance in HE, in which the Turkish system is not the single focus but rather part of a collection. They also shared the findings of a qualitative study conducted among Turkish academics who discussed various HE managerial and leadership issues. Despite the limited number of interviewees (there were only five interviewees), the study was significant in that it demonstrated the overarching power of the rector and

the negative impacts of the selection of the rector by academics in state universities, low student participation in governance, as well as the ineffective structure of governing boards mandated by poor regulations. One of the forms of ineffective governing boards mandated by CoHE regulations, as also mentioned above by Celep and Tülübaşı (2015), is as Vatanartıran (2013) argues, that academic senates, even though they have tremendous power over academic matters, do not fulfil their original purpose and do not serve as advocates for a collaborative decision making culture in the institutions in which they operate.

Low student participation has also always been an issue for Turkish HE and it was even discussed by Kuruüzüm, et. al, (2005) a decade before Celep and Tülübaşı (2015) brought it up, examining student participation in decision making at the institutional level - especially after the Bologna process was implemented - deeming it an important element in effective shared governance. While Kuruüzüm et. al. acknowledge the increasing involvement of students in governance, it concludes that Bologna compliance is still more a box to be checked than a mind-set from which to approach shared governance. The role of students in institutional governance remains limited and the effectiveness of their involvement difficult to measure, regardless of the type of university.

Due to their young age FUs did not attract much in the way of research or publications from many scholars. However, the CoHE's 2007 report on FUs (YÖK, 2007) concluded that the micro management approach of board members, their tendency to bypass the rector and other key academic leaders in their decisions and

communications, and the lack of a proper bureaucratic system are key criticisms of Foundation Universities. Another important group of reports was prepared by the EUA for the nine Foundation Universities which participated in the Institutional Evaluation Programme (IEP) between 2009 and 2015 (IEP, 2015). When reviewed, one can see that these include the following thematic headings and some themes recurred throughout, accompanied by commentary on the need for improvement:

Criticism of the centralized governing structures of the institutions
Lack of internal communications
Low and ineffective participation of students in governance
Passing of strategic decisions without consultation
Unclear divisions of borders and responsibilities between boards of trustees and university management
Limiting role of national regulations

*Table 4* Common Criticisms of Institutional Evaluation Programme Findings for Turkish Foundation Universities, IEP, 2015

In addition to these two sets of reports, there has been a very limited number of studies focusing on Foundation Universities. Among them, Mızıkacı (2011) and Erguvan (2013) discussed the roles of Foundation Universities in the fast growing Turkish HE environment as institutions addressing the increasing demand. Mızıkacı (2011) called them “*demand absorbing institutions*” (p. 145) due to the massification of HE in Turkey, and she argued that Foundation Universities copy one another in academic and non-academic areas, creating isomorphic institutions. Also, surveys conducted by several researchers (Dost & Cenkseven, 2008; Arslan, 2013

and Erguvan, 2013) among academics found that the founders of Foundation Universities are seen as important barriers to autonomy and the creation of trust among faculty members, and the lack of democratic, participatory, fair and effective management are major governance issues. This is because they act more like investors in a private enterprise than founders of a non-profit university, as will be discussed and elaborated upon in chapters IV and V.

The role of trustees and their impact has been discussed further by Arslan (2013), based on a combined qualitative and quantitative research study containing survey and interviews, concluding that family and business connections with the president of the board of trustees play an important role in the selection of trustees and that short meetings occurring infrequently are very common practice. His analysis concluded that trustees have sufficient competencies to serve on these boards in political, strategic and interpersonal areas, but they need further education to understand the complex system in which HE institutions operate, as well as their unique cultures. In the report published by the Foundation for Political, Economic, and Social Research (Kurt et al., 2015), Kurt provides general information on boards of trustees with global examples as well as a historical perspective; however, he does not go beyond categorising information on the current structure, nor how these boards typically operate in Foundation Universities. Overall the report provides only general and legal information.

In 2015, Değirmencioglu and İnal edited the first volume ever on the issues and challenges of Turkish Foundation Universities, with selections from

several researchers and authors. It explores the privatization and commercialization of Turkish HE, quality issues in Turkish Foundation Universities and, most relevant to this study, issues of governance. Authors in this volume (Değirmencioğlu & İnal, 2015) criticize the governance structures of Foundation Universities, with a focus on the management styles of boards of trustees, and they share several real world examples from actual Foundation Universities. In addition, Odman and Arslan (2015) discuss the failed unionization efforts in Foundation Universities and reactions towards the decisions of Foundation University management. One of the contributing writers, Okcabol (2015), criticized the 2007 CoHE report on Foundation Universities because of its lack of recommendations for overcoming the challenges presented. Despite being almost ten years old, many of the criticisms in the report remain valid today. As noted, for an overarching entity such as the CoHE to comment on the level of institutionalization, on how certain decisions were made, on the role of the presidents of board of trustees and their involvement in daily operations and then not to present any suggestions or solutions almost seems irresponsible. Indeed, this trio of issues has the potential to create conflict and pose barriers to the institutionalization of the Academy. Also, although the report acknowledges the importance of academic freedom and institutional autonomy, it neither provides a roadmap, nor gives any recommendations on how to deviate from a centralized structure. This can be understood as another instance of the general problems of democratic governance in Turkey, namely that Turkey's commitment to participatory democratic governance remains on paper due to the absence of and reluctance to establish shared governance mechanisms.



Thus the limited number of resources on the governance of Turkish Foundation Universities overwhelmingly report on the unequal impact of the current HE law's centralized and restrictive nature and on how the system and each institution is governed. The impact of this type of restrictive and highly regulated environment through the actions of the CoHE on the autonomy of institutions and on participatory decision making has been stressed. Due to the overarching power of the rector, the rector's role and status has been considered; however, this has been mostly from the state university perspective, although usually in conjunction with ineffective regulations and governing bodies mandated by them, and low level student participation in governance. Those few who have chosen to focus on Foundation Universities have criticized how Foundation Universities are governed and managed by evaluating surveys conducted among academics. The reports prepared by the CoHE and European University Association (EUA) have also shown the reverse impact of current regulations and the role of the CoHE on collaborative decision-making, as well as on the actions and approach of boards of trustees and a lack of communication and harmony among key stakeholders.

Effective shared governance in Turkish Foundation Universities can only become a reality once the above mentioned obstacles are removed and concerns are addressed. The regulatory environment, participation of key stakeholders, roles of boards of trustees and the importance of communication, along with other results gathered from this study, will be examined and analysed in depth below.

Undoubtedly the growing and changing Turkish HE system merits ever more research, particularly in areas that have been given incomplete attention, such as governance practices. While there is hope that the limited discussions on governance of the system and its institutions to date will increase significantly, unless there is a renewed emphasis on advanced level programs in HE in Turkey the forums for study, publication and the dissemination of knowledge will be insufficient to support any significant HE management research output.

## **VI – Conclusion**

In this chapter a review of the literature on the meaning of governance and on the key components of good governance have been presented, in order to relate it to the importance of participation. As discussed above, since the late 1980s, principles for good governance have been promoted by international organizations like the OECD, UN, WTO, and IMF for ensuring effective governance mechanisms. According to the literature reviewed, whether applied to corporate, public or HE arenas, good governance principles demand active and effective stakeholder participation, which translates as shared governance in HE.

The shared governance concept and its effectiveness in HE have been discussed as to the characteristics of the institution's impact on the model applied. Additionally, the literature reveals and the model requires a sensitive balance between a set of factors, and it is also clear that balance is a multidimensional and complex concept. In fact, balance is achieved only as a result of the interaction of these various factors including trust, openness to the ideas of others, collaboration as well as shared vision. The discussion on how shared governance applies to both for-profit and non-profit institutions alike around the attitudes of academics provides the necessary background to the findings of this study, alongside a focus on the unique characteristics of Foundation Universities. It is exactly these unique characteristics of Foundation Universities that require this multidimensional balancing act.

In the section considering changes to a shared governance model, scholars have presented a hybrid model to address the changing needs and demands of the HE environment, as well as highlighted those barriers to an effective shared governance model. It has been suggested that the proposed model, which brings the best of corporate and collegial governance practices together, must respect and consider the special features of both the HE system and the particular features of the individual institution, in order to make it truly applicable to Turkish Foundation Universities.

The limited literature on governance in Turkish HE, specifically on Foundation Universities, mainly discusses autonomy issues, the overarching power of the rector, ineffective regulations and governing bodies mandated by these, and low levels of student participation. The last part of this section provides insight into reports prepared by the EUA and the CoHE on Foundation Universities, outlining HE regulations, on the CoHE itself, and on unclear divisions of responsibilities between board of trustees members and senior management as being major criticisms of how they are governed.

As a key feature of good governance, participation cannot be discussed in Turkey, without considering the role of politics and the regulatory environment. They have been shaped predominantly by the coups d'état in the country, including the most recent failed attempt in July 2016. These experiences have presented Turkey with significant stumbling blocks towards the establishment of a participatory democracy by Western standards, impacting everything, including HE. As the role of

politics in HE, culture, regulations, and the legal status of Foundation Universities are all affected by these developments, this study will go on to explore the effects of such a political environment on the emergence of shared governance practices in Turkish Foundation Universities.

Additionally, it must be reiterated that most of the discussions presented above on shared governance do not directly address the Turkish case, and this constitutes the research space of this study. The inability of institutions to implement the practical application of shared governance in Turkey due to the unique characteristics of Turkish Foundation Universities (culture, politics, regulations, market dynamics, maturity (see Chapters IV and V) has not been researched to the degree that would allow institutions to explore the impediments and execute the necessary changes in full. This study will therefore tackle the challenge of linking these discussions to the findings in a Turkish context in an attempt to identify those factors hindering the establishment of shared governance, in the hope that identification is the first step on the road to change. While there is an abundance of quantitative studies on shared governance in Turkish Foundation Universities, there is hardly any qualitative research into it. The uncharted nature of this terrain and the striking absence of such research call for a sociological approach to the matter at hand, in order to unpack the complex relationship between structures and agents, and institutions. It is precisely this task which the next chapter seeks to undertake.

## Chapter III – Methodology

### I - Introduction

This chapter considers the methodology adopted in order to explore the factors that hinder the emergence of shared governance in Turkish private (foundation) universities. It outlines the theoretical and methodological frameworks that this research relies on in addressing its primary and secondary questions. The first part of the chapter examines where this study falls in sociological traditions and claims that conventional sociological approaches fall short of offering a fitting framework for explaining the absence of shared governance in Turkish Foundation Universities. Hence, the theoretical position adopted to guide the methods chosen complements conventional sociological theory with the more recent theory of structuration (Giddens, 1984), enabling the researcher to explore for the import of agency in societies with a limited institutional culture regarding shared governance. This lack of a culture of shared governance also calls for greater agency-oriented approach than the structuration theory allows. Accordingly, this chapter argues that a perspective informed by the GT approach, with its emphasis on theory emerging from the empirical material rather than being tested through it, is the best fit for a context where structural patterns are not yet stably in place, as the analysis continues until certain significant and repeating themes have been identified.

The chapter proceeds in four steps. First the place of the study in the sociological tradition is discussed, where Durkheim's structural functionalism is complemented with Giddens's structuration theory. Second, the GT approach as the methodological tool is presented under the Research Design section. Next, data collection methods - including how the data was collected and analysed - are described respectively in sections IV and V. In the section preceding the conclusion, ethical considerations, the time frame of the research and feedback to the participants are all discussed.

## **II – The Sociology of Shared Governance: Utilizing sociological theory in the context of shared governance**

The theoretical perspective of this research draws on Durkheim's conventional structural functionalism (Giddens, 2006). Functionalism is relevant, insofar as it highlights the focus on the relationship between the organizational order within the institution and its constituent parts, which makes this relationship integral to the institution's function of governance. According to Durkheim, if the values are not constantly reaffirmed and transferred to the next generation (which is often called institutional memory) then the society might face collapse (Durkheim, 1982). Just like a society, an institution must ensure that institutional values are shared and agreed upon among all functions and units, a concept closely related to the principles of shared governance, as discussed in the preceding literature review. The 'social control mechanisms' which functionalists discuss as protecting the institution (Emirbayer, 1996), may operate as an effective shared governance practice.

Functionalists argue that in order for a social system to exist, the needs of organic units of the society must be met through its social institutions. In the case of HE, the needs of the units of the institution must be met through an effective governance system, one which can address these needs without threatening its very existence (McClelland & Fararo, 2006). As in Coser's (1971) explanation of functionalism, where the goal is to determine the connection between the social facts considered and the overall needs of the organization, without focusing on what is



intended or not, this study aims to examine the communication and linkage within the institution related to shared governance and effective governance mechanisms.

Emirbayer (1996) argues in line with Durkheim's writings that a Durkheimian approach to functionalism not only studies how the structures and processes of an organization are functioning, but also how these functions interact historically with one other within a specific culture. This kind of perspective aids the study significantly, as the institutional, national and international culture all play important roles in the governance of an HE institution.

Durkheim's functionalism is primarily a theory of an organic society. The subject matter of this research, however, is at a lower level of social complexity, that is, the institutions of HE. What is required, then, is a more middle-range or meso-level theory to make Durkheim's structural functionalism applicable at a lower level of societal complexity. Therefore, I also make use of Merton's middle-range theory that emphasises organizational or institutional level of analysis rather than the societal. In his *Social Theory and Social Function*, he defines social functions as "observable objective consequences" –something different from "subjective dispositions (aims, motives, purposes)" (Merton, 1968, p. 78). The contribution of Merton's middle-range functionalism to the overall framework of this study is clear: by focusing on a specific group of institutions in the realm of HE, namely the private (foundation) universities, this study adopts precisely this meso-level of analysis suggested by Merton.

Thus understood, HEIs require an environment where, besides the maintenance of a healthy balance between academic, administrative, and financial concerns, governance can be seen as crucial for the long term health of the institution and in broader terms, for the health of the (educational) system in which the institution operates. Locating this question of governance in this way within the wider frame of academic context enables a comparative understanding of varying modes of operation and the success of different governing systems to emerge. It further allows for the consideration of socio-economic, cultural as well as political influences in the specific case of Turkish Foundation Universities. The compatibility of the selected modes of governance for these institutions can then be further analysed at local (institutional), national, and global levels.

While Durkheim's and Merton's structural functionalism serves as a good starting point for analysis, its dismissal of human agency generates problems for research, especially in the case of Turkish Foundation Universities, which are very much vulnerable to the personal whims of managers, bureaucrats, politicians, investors and their like. To make up for this deficiency, a more nuanced sociological research framework developed by Giddens (1984) is proposed, to appreciate the role of agential factors in relation to structural ones. In his structuration theory, Giddens states that *"structure is not to be equated with constraint but is always both constraining and enabling"* (Giddens, 1989, p.25). Giddens' 'structuration' theory seeks to put both agency and structure on an equal ontological footing, without tilting the balance. In this approach, human agents and structures are mutually constitutive. This means that it is necessary to understand the relation between

structure and agency, by incorporating the enabling dimension of the structural relations into the larger picture. By the duality of structure, Giddens means that there are two faces of power: *“the capacity of actors to enact decisions which they favor”* and the power of institutions (Giddens, 1989, p.15). Giddens states that subordinates can always influence their superiors because whenever structures of domination are examined, there are no docile bodies, behaving like automata. This is the reason why structures are not external to actors or individuals.

Utilizing this framework, it is more likely that one gets a fuller picture of the shared governance practices in Turkish Foundation Universities. Giddens’s structuration theory offers a solid ground to analyse the issue of shared governance in private universities in Turkey, because some of the main actors in these institutions are the founders, who act as the president of the board of trustees and who are at the same time entrepreneurs. The International Encyclopaedia of the Social and Behavioural Sciences defines an entrepreneur as someone introducing “new methods and processes” (Smelser & Baltes, 2001) which relates closely to the arguments on how the governance of institutions has been changing in recent years. Put differently, entrepreneurs are by no means obedient actors in business life, but rather they push the boundaries, they lobby for a new regulatory framework and the interest of their industry, they influence the decisions makers. These entrepreneurs are creators of a new business environment. And hence, they are the best examples to show that regulation is not a simple relationship of subordination, and that those who are regulated have the power to shape the regulatory framework in turn. The discussions around corporate and collegial governance models (Crellin, 2010;

Shattock, 2012 and Taylor, 2013) and how they merge are very closely linked to the entrepreneurial and innovative approaches of the institution. Reynolds (1991) indicates that private and public entrepreneurialism can occur at the same time and they are complex, multi level phenomena which support the increasing adaptation of certain corporate governance tools and systems by universities and their complex but dynamic characteristics.

Approaching the research question, then, from these perspectives will address the specificity of Turkish Foundation University governance, by acknowledging and valuing the context, experience and history of this micro culture in modern HE, allowing the researcher to draw upon all of these facets, in order to postulate how these schools can better serve the needs of their various stakeholders. To do this, however, the more agency oriented structuration theory is limited in offering a more precise appreciation of the role of agency. This is because, unlike its Western counterparts, Turkish HE in general and Turkish private (foundation) universities in particular still lack observable patterns and any organic unity in the diverse functions that agents and institutions serve in the Turkish context. These do not easily fit into the theoretical and institutional frameworks that had historically emerged in an organic manner.

Therefore, in the next section, I turn to the GT approach to see which structural patterns emerge following the collection of conversational (interview) data that can then be empirically analysed and interpreted. This model is suitable for contexts where structural patterns are not yet sufficiently institutionalised to allow the

application of an existing theoretical framework, for it provides a theoretically unconstrained, empirically GT building.

### **III - Research Design**

#### *a - Introduction*

In this study a qualitative research method has been deployed with semi-structured interviews being the main source of data. With the absence of institutionalized shared governance in Turkish universities and the rapid growth of the Turkish HE system especially in the last 20 years, statistical analysis is not sufficient to explain the underlying factors and their relationships. This is due to difficulties regarding what questions to raise in a possible questionnaire which by definition assumes a uniformity of answers and thus of institutions. The flexibility of a qualitative approach and the data collection tool of semi-structured interviews with their dynamic, interactive nature allowed the researcher to adjust questions according to the responses of the interviewees (Corbetta, 2003 and Mack, et al., 2005). Since this research seeks to uncover patterns or lack thereof of shared governance, it explores the reported behaviours, experiences, beliefs and views of actors in the field through qualitative research. Although the semi-structured in-depth interviews have been the single most important data source, other qualitative methods of observations, documentary analysis, reports and reviews, as listed by Mackenzie and Knipe (2006), ran alongside, while related desk research was utilized from a broadly functionalist paradigm.

### *b - Grounded Theory Approach*

The Grounded Theory (GT) Model was introduced by Glaser and Strauss through their book *Discovery of GT*, published in 1967. Since then it has become an important research tool for those conducting qualitative research. Despite the fact that GT Model was used initially in the area of medical sociology for the studies conducted by Glaser and Strauss, it is now widely applied in many fields including Management and Education. In studies of educational leadership, GT has been used by many researchers considering both K-12 secondary and tertiary education. For instance, Çalışkan (2013), in her doctoral study, provides examples of those who have used GT in HE, and listed Komives, et al.'s, (2005) study of the development of leadership skills in college students along with Eich's (2007) study on HE leadership programs as prime examples to have employed GT.

Charmaz, one of the leading experts of the theory, refers to it as a systematic, and comparative approach (Bryant & Charmaz, 2007; Charmaz, 2014) allowing researchers persistent interaction with their data and consistent involvement with their analyses. This inductive approach allows the research to develop its own emergent theory by constant comparative data analyses. While Charmaz indicates the need for some level of forethought before engaging in research, GT allows the researcher and the research topic to remain as open as possible during the data collection process.

Just as in any other qualitative research, the data for a study can come from various sources (Corbin & Strauss, 1990), including interviews, focus groups,

and reports as done in this study. One of the biggest differences with GT compared to other approaches is the iterative correlation between analysis and data collection. The analysis can start as soon as the researcher collects a meaningful amount of data and data collection and analysis can continue simultaneously. Charmaz, (2014), and in her interview with Graham Gibbs (Charmaz, 2015), summarizes the stages as follows:

- The initial coding is the first step in analysing the data. Depending on the type of the data several types of initial coding can be followed such as line by line, word by word or incident by incident.
- Focused coding, the second major step in coding, is when the researcher begins to examine repeated initial codes to scrutinize large amounts of data.
- Axial Coding is the phase where categories and subcategories are established and dimensions within and among the categories are outlined. This stage also contains the reassembly of the data which was broken down during the first step, to give consistency to the developing analysis.

Throughout the coding process the most important part is the saturation of concepts, which Glaser and Strauss (1967) define as the point when no further data can be included and impact the existing concepts. The GT Model requires continued data collection and data analysis until the above described saturation point is reached (Charmaz, 2014, p. 213).



This study however does not represent a full-fledged GT Model; instead it utilizes aspects of what we might call a more limited GT approach. This is due to the fact that the results of the study are based on the perceptions of different experts in Turkish HE and these perceptions do not necessarily reflect an empirically observable dataset which is usually considered a *sine qua non* of a conventional GT Model.

## **IV - Data Collection**

The data for this research has been collected mostly through semi-structured interviews, supported with limited desk research.

### **i - Desk Research**

As discussed in Chapter II, the available data and reports on Turkish private universities, in particular anything related to their governance, is very limited. Data was collected through the publications of the CoHE, ÖSYM and reports published by various national or international organizations which were all considered open access data. The collection of this data did not require any special effort or request.

### **ii – Interviews: Qualitative Research**

The main fieldwork research data was gathered through interviews with 22 individuals who have been involved in Turkish HE in a variety of capacities. After initially classifying the institutions of HE according to their size, sponsoring foundation, and location, the interviews were conducted between June 2014 and April 2015. Interviewees were selected according to their current or previous roles at Foundation Universities and/or the CoHE. All of the interviews were conducted in each interviewee's private office, which provided a secure and confidential environment. The interviews were all audio-recorded with the permission of the interviewee and transcribed by the researcher later. As promised, all transcripts were

later shared with the interviewees and were made subject to their final approval. No major changes or correction requests were made, other than a couple of minor corrections related to items such as dates, locations, titles and names. All interviews were conducted in Turkish, as all of the interviewees are Turkish. All analysis was conducted in English.

Each semi-structured interview started with inquiries on interviewees' professional experience (as seen in Table 5) in Turkish HE, more specifically in Foundation Universities. In order to elicit information as to their insights on what shared governance in HE is, questions regarding their definitions of shared governance and who the stakeholders are were raised. Next, building on their experience in shared governance interviewees were asked to identify and comment on factors that hinder the establishment of shared governance practices in Turkish Foundation Universities. Finally, the interviewees were asked to elaborate on the way forward for better shared governance. As these were designed as semi-structured interviews, *ad hoc* questions depending on the experience, perceptions and opinions of the individual interviewees were also raised to deepen, enrich and expand the qualitative research material.

As can be seen from analysis of the interviewees below, they represent different characteristics of the Foundation University system with comprehensive and significant ranges of experience. Since the factors hindering the emergence of shared governance are being investigated, senior leaders of HE institutions were selected, as they have much deeper and wider first-hand experience with these

factors and should be able to approach the questions from multiple angles. It was decided that those with leadership experience both as administrators and senior academics would most likely be able to draw upon their first hand and unique experiences.

The tradition of shared governance is not found in the Turkish HE system and the involvement of regular academics in decision-making is limited and when present, highly structured. As a result of this, academics without senior management experience were not included in the interview process of this study.

Also, since student participation in governance does not exist anywhere in the entire Turkish HE system, students have not been included either. However, due to the integration of the Turkish HE system into the European HE Area and the Bologna standards, as well as the increasing number of institutions seeking programmatic accreditations which require students to be involved in governance, greater student involvement is likely to be seen in the future.

Two of the experts selected and contacted declined, due to their extensive travel schedule, although both expressed great interest in the research and requested a copy when it is completed. All of the other individuals contacted accepted the invitation and participated in the research.

**Experience in Turkish Higher Education:** Their current and cumulative experience represents a group of people with a deep understanding of Turkish HE, especially that of Foundation Universities in years.

	<b>Council of Higher Education</b>	<b>State University</b>	<b>Foundation University</b>
<b>Cumulative</b>	7	12	19
<b>Current</b>	2	2	18

*Table 5 Cumulative and current experience of interviewees (2015)*

**Foundation University Experience:** All but one has direct experience with Foundation Universities, either that they are or were employed by a Foundation University or are serving or have served on a board of a Foundation University. Furthermore, twelve have state university experience, either as a current or former employee.

**Geographic Distribution:** Currently the interviewees are - or have most recently - been working in Istanbul (n=16), Ankara (n=5) and İzmir (n=1). These three cities host more than 80% of the Foundation Universities in Turkey. However, when their previous experience is considered, they also represent institutions from Sakarya, Eskişehir, and Bursa.

**Type of Institutions Represented:** Interviewees are currently working for, or have previously worked for 20 diverse institutions in Turkey. According to the University Ranking by Academic Performance (URAP) conducted by Middle East Technical University (the only comprehensive university ranking in Turkey) the

institutions the interviewees are affiliated to represent a diverse distribution of this ranking, which also has a direct relation to their varied approaches to governance. Among these 20 diverse institutions which the interviewees are currently working for or have previously worked for, 16 of them were established before 2000.

The universities with which interviewees are currently or were previously affiliated are grouped as follows, according to the URAP (University Ranking, 2015):

- Seven (three Foundation Universities) schools ranked in top 25
- Four (two Foundation Universities) schools ranked between 25 and 50
- Five (two Foundation Universities) schools ranked between 51 and 100
- Two (two Foundation Universities) schools ranked between 101 and 150
- Two (two Foundation Universities) schools not ranked

**Board of Trustees experience:** More than half (13 of the 22 interviewees) have BoT experience (12 of them are currently serving as a trustee in a Foundation University) including four current Board of Trustees presidents.

**Academic Title and Leadership:** Interviewees have significant academic careers and 15 of them hold the full professorship titles; one of them holds a doctoral degree, whereas six of them have no terminal degree.

- Nine of them have experience of being a rector.
- Five of them are currently serving as a Rector of a Foundation University.

- Two of them served in the past as a Rector of a Foundation University.
- One of them served in the past as a Rector of a state university.

**Council of Higher Education experience:** Between being a member at Inter University Council and serving on the Executive Committee of the CoHE, 15 interviewees out of 22 have experience working at CoHE in different capacities. As the CoHE is a major player, such experience brings important perspectives to the study.

In addition to the above, some of the other interesting characteristics of the interviewees are listed below:

- Three are currently serving on the executive board of the Association of Foundation Universities
- Four are currently serving as the President of the Board of Trustees for their respective institutions
- Eight of the interviewees (n=5 currently) have served as the Rectors of Foundation (n=7) and State (n=1) universities
- Four of them served in the General Assembly and Executive Committee of the CoHE

Finally, in order to ensure an effective interview process, and also to overcome the researcher's lack of experience in conducting semi-structured interviews and thereby provide a suitable level of validity to the research, a pilot

series of preliminary interviews was conducted with five individuals who hold similar positions and with similar backgrounds. The table with each interviewee's related experience listed can be found in Appendix E.



## **V – Data Analysis**

### *a – Data Analysis*

Through the desk research section of the study, the limited information on Turkish HE and Turkish private universities was analysed to support the main data analysis part of the study. The desk research findings added the following benefits to the research:

- Provided high level information on the governance of Turkish HE in comparison to other systems
- Aided the researcher in preparing questions for the semi-structured interviews
- Helped the researcher to identify the interviewees

A significant amount of data was gathered through the 22 semi-structured interviews completed as a part of this research. Through deploying the Grounded Theory approach to analyse this collected data, I was able to be intimately involved with the data and its analyses (Charmaz, 2014). As this approach allows the researcher to start analysing the data while continuing to collect it, I transcribed each interview by myself immediately after it was completed in order to begin analyses without a delay. As Gee (1999) maintains, the words used in these interviews have different meanings according to the context in which they were used, as these meanings were partially embedded in different social and cultural groups. This

method of discourse analysis formed a critical pillar of the research, as it sought to identify the grounded nature of governance practices in educational culture as they play out in the particular case of Turkish foundation universities.

The first step of the data analyses started with the initial coding and shifting the research in an “*analytical direction*” as termed by Charmaz (2014, p. 136). Before conducting the analyses manually, I downloaded NVivo, a software program developed to support qualitative research, recommended by a colleague of mine. However, I found the software not as user friendly as I had initially hoped, and as my data was not extensive enough to require any software analysis I chose to switch to manual methods supported with Microsoft Excel. Transcribing the data myself also helped me make this decision not to use software, and allowed me to have a closer connection with the data.

After the interviews were completed and recorded, each was transcribed and shared with the interviewee for their final approval (none was withheld). All the interviews were held in Turkish and all analyses conducted in English. In this initial coding process, all transcripts were read and analysed several times as this careful examination of the data allowed me to identify hidden assumptions and to go deeper. In addition to taking notes and highlighting on the printed transcripts, I used visual cues and reminders in the form of Post-it notes to start organizing my initial coding.

After the interviews and transcriptions were completed as my initial coding, I moved to the stage which Charmaz calls focus coding (Charmaz, 2014). In

this important step, I started to look for repeating initial codes. In order to identify these repeats, I organized them on Microsoft Excel. I continued to analyse the data until certain significant and repeating themes were identified, or in other words until data analysis saturation was reached (Starks & Brown Trinidad, 2007).

Then, I moved to the final stage of grouping and sub-grouping the repeating codes before starting to work on my findings and discussions (Chapters IV and V). In this stage of the final analysis, Microsoft Excel was an effective tool helping me to group and to categorize the themes and concepts that emerged.

#### *b - Ethical Considerations*

As Cohen, Manion and Morrison (2011) warned, those who conduct research by writing should never assume that it will be all right. This has been an ever-present reminder that the researcher is human, and is interviewing human subjects about the human condition in institutions that are ever changing; there will always be some aspect of the research that can be interpreted as challenging. The entire research process has been completed in compliance with the ethical guidelines and standards of the University of Liverpool, and all protocols have been followed as committed to at the beginning of the research.

The semi-structured interviews are the main source of data, hence confidentiality and power relationships played an important role, requiring close attention. Oliver (2003) warns researchers to be aware that issues might arise spontaneously and one should be ready to address them, particularly during data

collection. In this study, predictions were made and preventative measures were taken to avoid any potential issues.

When an interviewee was selected, they were contacted with an email and provided with information on the research, which was supported with the Participation Information Sheet. The purpose of the study and the fact that participation was voluntary were emphasized multiple times which helped to build trust between researcher and interviewee, resulting in high quality data. Entire interviews were held in private offices where confidentiality and privacy requirements were met. As committed and promised, the transcripts of all interviews were shared with the interviewee for their final review and consent. Also, in no part of the thesis has institutional or individual information been revealed.

No one was included in the study without providing their formal written consent, as clearly instructed in the policies published by the University of Liverpool. All required permissions were obtained prior to starting the study and the related forms have been filled out and attached to this proposal. With respect to privacy and confidentiality all necessary measures have been taken to protect that data which does contain personal and institutional information.

The second area to which significant attention has been given is the potential risk of any ethical challenges related to the power relationship I hold as a member of the senior leadership team in a Foundation University. However, none of the interviewees, including those who work with me in the same institution, had any

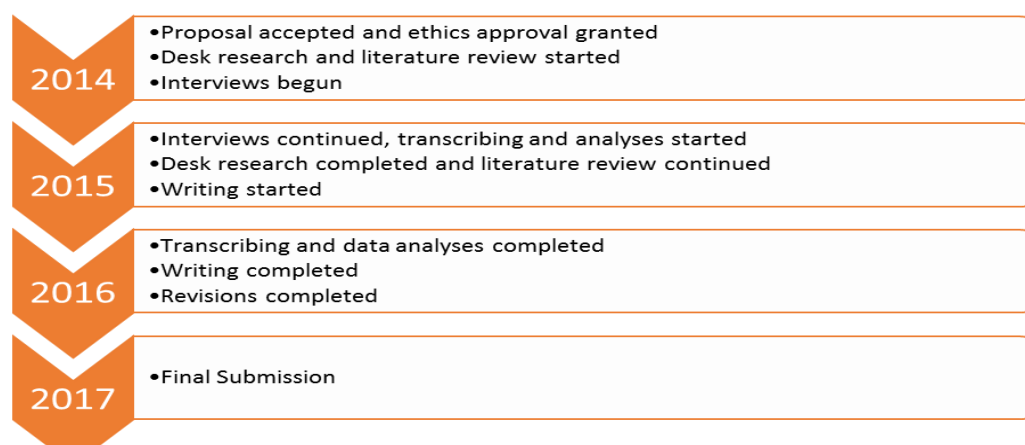
reporting relationship to me or any other type of connection or relationship that might have made them feel uncomfortable.

#### *c - Feedback to the Participants*

Without exception every participant requested a copy of this study when it is finalised, so it is the intention of the researcher that after the viva voce is over and the research is completed successfully, an electronic copy of the research will be sent to each participant. Also, it is planned to meet with those participants who would like to discuss further the study and its findings, as it is believed that such interaction can genuinely feed in to policy making, policy implementation and potential future research.

#### *d – Time frame*

Upon approval of the thesis proposal in early 2014 the data collection process began as well as the data analysis. The timeframe of the research is summarized as follows:



*Figure 9 Time table of the Research*

## **VI – Conclusion**

The design of the research, as discussed in this chapter, played an important and effective role in reaching the outcomes desired at the end of the research in several ways:

First, this chapter served to place this research into the wider context of sociological theory by offering a conceptual framework that makes use of Durkheim's structural functionalist view of society, Merton's middle-ranged theoretical perspective regarding institutions and finally Giddens's 'structuration' theory to assure both agency and structure are included, as the human factor plays such a critical role.

Second, The GT approach is taken as complementing these sociological perspectives through its empirical starting point and inductive theory building. The strategy of continuing analysis until certain significant and repeating themes have been identified, or in other words until data analysis saturation has occurred, has allowed the researcher to build the theory from the feedback of the interviewees (Starks & Brown Trinidad, 2007). Since the themes which emerged from the data analyses were self-evident, the GT approach has proven to be extremely useful, as will be seen in Chapters IV and V.

Third, the data collection process relied heavily on semi-structured interviews which provided not only first-hand original data but also allowed the

research to penetrate areas which are critical and cannot be explored through quantitative and previously published data. The data collected through interviews has been supported and complemented with data gathered through desk research. The wide and comprehensive experience of the interviewees in Turkish HE has meant several emergent issues could be discussed and analysed from varying angles.

In the next chapter those factors hindering the emergence of shared governance practices in Turkish Foundation Universities are discussed, which have been identified through data collected mainly via the semi-structured interviews and analysed via the GT approach. As will become clear, certain original themes emerge when no prior theoretical straitjacket is superimposed on empirical material. These themes crucially include culture, politics, founding principles, the regulatory environment, the management approach, maturity, and trust. This diversity of factors begins to explain why shared governance does not emerge in Turkish Foundation Universities, but does not lend itself to easy formulation within the existing framework of any given theoretical perspective.

This thesis has been completed at the worst of times and at the best of times, as Dickens famously wrote. It is the worst of the times because Turkey is undergoing immense changes in its political and social life without a clear direction and is in turmoil. Simultaneously, it is the best of the times because such sea changes allow for space for changes in governance as well.

## Chapter IV – Findings

### *Views from Inside the Turkish Higher Education Landscape*

#### **I – Introduction**

This chapter provides a taxonomy of the factors hindering the emergence of institutional patterns of shared governance in Turkish HE, specifically in Turkish Foundation Universities (FUs). As discussed in Chapter III, the primary data for this thesis is collected through semi structured interviews and these findings are classified on the basis of a GT approach.

The chapter starts with a discussion of the peculiarities of the notion of shared governance in the Turkish HE context in general and in the Turkish FUs in particular. The peculiarity of this notion and its associated practices led to the researcher coining the term “Shared Governance *A la Turca*”.

The chapter then goes on to identify two major sets of factors, namely institution-specific and ecosystem-wide. Institution specific factors include Founding Principles, Management Approach, Lack of Trust, Loyalty and Ownership, and Maturity while ecosystem-wide factors cover Lack of Models for Governance and



Collaboration; Lack of Quality Assurance (QA) Initiatives and Auditing; Regulations and Higher Education Law; and Politics and Lack of Autonomy.

In addition to these two sets of factors, Culture is found to be an overwhelming factor directly shaping and shaped by all other factors testifying to the intertwined and complex nature of their interrelations.

## **II – Shared Governance A la Turca**

### *a - Shared Governance in a Turkish context*

The shared governance concept, defined broadly by Olson (2009) as “balancing maximum participation in decision making with clear accountability”, is in principle welcomed by Turkish academics and senior managers who believe that some, if only a few, of its characteristics do exist within the system. However, there are no formal documents or records referring to shared governance other than one or two created by governing committees, simply in order to meet the legal requirements mandated by the CoHE, rather than to drive any action, as described in earlier chapters.

According to the participants, some basic modern shared governance practices might be visible in a few institutions, in the form of strategic planning meetings conducted by a Foundation University with several stakeholders participating (or active usage of advisory boards in the cases of a couple of institutions); but when these very few examples are excluded, it is abundantly clear that the Turkish HE system and its institutions do not have active shared governance. During one of the interviews, a veteran of Turkish HE evidenced the recent debate on Turkish HE law as an example of how the key stakeholders are not connected. As mentioned in the introduction of this thesis, he went on to say there have been occasions where the ruling party not only made changes without consulting with the CoHE, but also failed to notify the Council's President about these changes prior to their introduction. In another instance, before this issue was raised, according to

another participant, the CoHE President worked almost two years on new legislation, organized several sessions with all stakeholders and ensured there were platforms for all to share their comments and concerns prior to tabling a final proposal. This collaborative effort was then promptly dismissed by the ruling party. This initiative, seen as one of the only examples of shared governance which actually got certain parts right, was halted and replaced with non-shared governance. The absence of overall consensus on shared governance, confusion over stakeholder roles and finally what interviewees refer to as the issue of level of institutionalisation is what the concept of Shared Governance A la Turca rests upon, whereby A la Turca refers to a peculiar Turkish style of doing things as opposed to doing them in western styles. The concept emerged historically in terms of internal tensions associated with Turkish path to modernity. According to renowned sociologist Şerif Mardin, the term “*A la Turca*” is used to refer “*national attempts at national stereotyping in the lingua franca, an expression that has survived into modern Turkish*” (Mardin, 2006, p. 23).

One of the interviewees (Interviewee # 13, with experience in state university management and on the CoHE) gave an interesting example to support the rejection of any claim to shared governance practices at the top. The recent debate about the potential changes that will come with the HE act passed in Turkey during this study (see Conclusion) demonstrate yet again how stakeholders are not included in discussions with the CoHE. The same interviewee stated that he does not have any information about the upcoming legislative changes, as they were prepared at the MoNE level:

*The Turkish style of shared governance is, before making a decision, to ask for opinions and feedback from those who will be in favour of the decision that you have already made. The Council of Higher Education sometimes asks for opinions before making a policy decision and usually they seek opinions to support their ideas. This also happens at the institutional level (Interviewee number 13). Translated by the author, Çağrı Bağcıoğlu (CB).*

One of the interviewees (#4, an academic, with experience in Foundation University management and in serving on the Board of Trustees) rejected the idea of complete collaboration and presented a limited scope of acceptance:

*For me, shared governance is listening to others and allowing them to be heard, but it does not mean that I will do whatever they say (Interview number# four). tr. CB*

During the interviews, it has become evident that most of the participants do not have sufficient knowledge of how shared governance works in private, not for profit institutions which are subject to the same regulatory environment as the state universities. Interviewees repeatedly emphasized that shared governance is for state universities. When the follow up questions provided them with a better understanding of the system, it was also interesting to see that participants, particularly at the BoT level, believe in the importance of reducing the weight of all other stakeholders, especially academics, in order to have an effective system. One of the interviewees (interviewee # ten) believes in the advantage of bringing in management team

members from outside HE as they have knowledge and business acumen from the corporate world and move at a different pace:

*Of course without the academics you cannot manage the school, but their weight in decision making should be lowered as they are very traditional and slow (Interviewee number ten, experience in Foundation University management and in serving on the BoT). tr. CB*

As will be discussed further in Chapter V, the concept of Shared Governance is neither thoroughly understood, nor therefore widely embraced in the Turkish HE system. It would be fair to state that shared governance exists in some rudimentary form and is perceived positively by most of the stakeholders. One of the reasons why this positive perception does not translate fully into practice is the subject of the next section.

#### *b – Stakeholders and their effectiveness*

As the main purpose of the study is to identify the factors hindering the emergence of shared governance practices in Turkish FUs, all interviews started with a simple question asking interviewees to identify who they believe to be the stakeholders in universities. Responses varied and although all of the participants identified certain agents as stakeholders, some of them provided much more detailed and systematic responses.

The Board of Trustees, referred to as the top management, the Rector, as well as academic staff, students and alumni were all identified as stakeholders by all interviewees. It was surprising to learn from interviewees, though, that some participants with management experience did not include any external stakeholders such as industry, businesses, NGO's, an institution's surrounding community, nor regulators. Conversely, those from an academic background tended to exclude the administrative staff and the members of the original foundation which established the university.

The following figure (Figure 10) summarizes the responses of interviewees and shows the key stakeholders identified by three sub groups (those with BoT Experience, those with Academic Experience, and those with non-Academic Experience) and provides an overall summary of the findings. While all participants identified the CoHE as a stakeholder, one of the interviewees referred to it as a 'player' rather than a stakeholder. The main driver for this conclusion by the interviewee (Interviewee number 21, academic, experience in Foundation University management and serving on the Board of Trustees) referring to the CoHE as a player instead of a stakeholder was because of its direct and unchecked power to influence, set the rules and hence significantly impact the HE environment in which Foundation Universities operate.

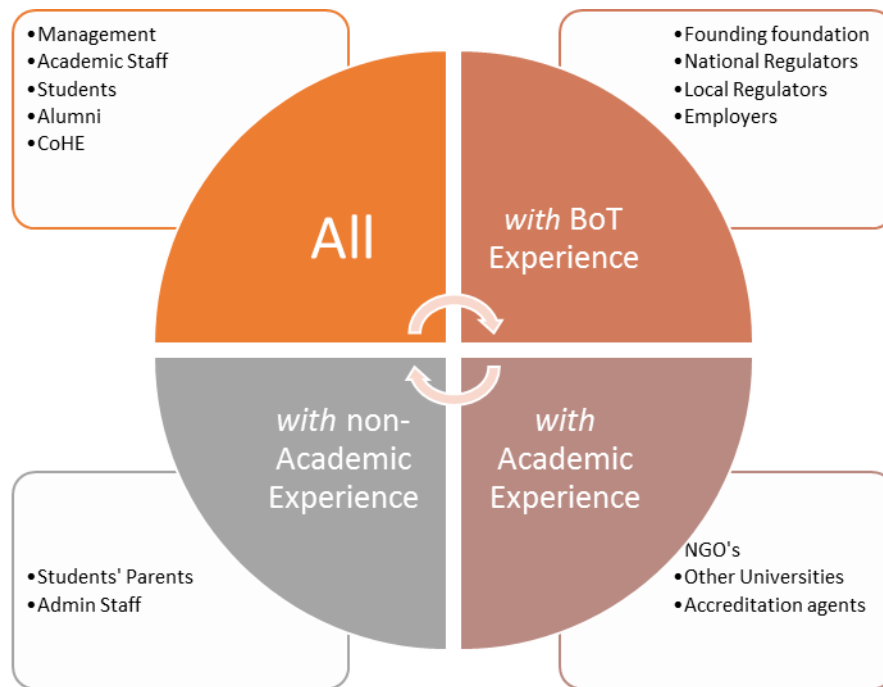


Figure 10 Stakeholders at Turkish Foundation Universities according to interviewees

According to the findings the interviewees divided the stakeholders into explicit and implicit groups. Explicit stakeholders are management of the Foundation University (including the Board of Trustees and Rector), academic staff, administrative staff, students and alumni, and the CoHE: all of whom have direct influence on the decision-making of the university, whereas the implicit stakeholders are industry, businesses, NGO's, regulators, and students' parents: all of whom have no direct influence.

The consideration of students' parents can be seen as a major difference between more developed systems and Turkey, but this is mainly due to the significant difference in cost between attending a state university or Foundation University. Comprehensive and detailed privacy rules and laws such as the U.S. Family

Educational Rights and Privacy Act (FERPA) do not exist in Turkey, and due to the lack of financial aid options parents feel justified in being intimately involved in students' decisions and studies, as it is most often they as consumers who are paying the bill for a more expensive Foundation University education. Since the state universities are tuition free, the role of students' parents and the concept of them as stakeholders vary greatly among state and FUs. With tuition revenue representing such a significant proportion of the overall income of Foundation Universities, parent power and influence over their children's enrolment decisions thereby impacts the FUs at a much higher level.

Acknowledging that the key to effective shared governance is the active participation of stakeholders in the decision making process, interviewees unanimously indicated that the level of stakeholder participation both in the Turkish HE system in general and in private universities in particular is minimal. Conversely, several interviewees stated that the regulation-mandated governing boards such as the University Executive Board and Academic Senate do require some level of participation. The findings of the study identifying key factors preventing participation and emergence of shared governance are discussed below.

*While academics, especially the Rector, try to achieve a consensus before every major decision, the President of the Board of Trustees, or in other words the "Boss", tries to bypass these boards as much as possible (Interviewee number 18, experience in Foundation University management). tr. CB*



*I am glad regulations mandate an Academic Senate and a University Executive Board. If they were not mandated some Foundation Universities would never allow the academic side to become involved in decisions. On the other hand, let me tell you what I have been hearing, many Foundation Universities do not even hold these meetings, and then later collect signatures (Interviewee number eleven, experience in state and Foundation University management and in serving on the BoT and on the CoHE). tr. CB*

While one of the challenges is the inactive or insufficient participation of some stakeholders, such as academics or students, the other challenge according to study participants is the over-participation by certain bodies. The BoT (commonly referred to as the ‘owners’ of the university by the Turkish public, despite the fact that Foundation Universities are not-for-profit entities and cannot have owners) and politicians, through several agents, steal the roles from stakeholders and dominate the decision making process. Interviewee number four (academic, experience in Foundation University management and serving on the Board of Trustees) criticizes decision makers’ unwillingness to allow key stakeholders to participate in decision making, whereas Interviewee number 17 (academic, experience in Foundation University management) expresses a common view of academics:

*Sometimes I look at certain decisions made by the Council of Higher Education or by an individual university. I see the Board of Trustees, or the CoHE members talking to politicians and making academic decisions, and no one even thinks about asking the academics, the students, those who will be affected by the decisions (Interviewee number four). tr. CB*

*It is hard to understand how and why they make some decisions. They just take it and ask us to implement or follow. Of course it gets better when these poorly taken decisions backfire and we the academics have to deal with their results (Interviewee number 17). tr. CB*

The involvement of students is very low, and almost all interviewees acknowledged that this needs to be addressed and increased. As a result of the Bologna process and an increase in external quality initiatives such as programmatic accreditations (i.e. The Association to Advance Collegiate Schools of Business – AACSB; Commission on English Language Program Accreditation – CEA; Accreditation Board of Engineering and Technology – ABET, etc.), some changes have been seen. However, all the participants indicated that student participation in shared governance is so low as to be virtually ineffective in all institutions represented in this study. One of the interviewees (Interviewee # 22) gives credit to the accreditation process his institution went through which allowed students to participate more actively.

*Turkish higher education has never been a student-centric system. Not too long ago, just ten years ago, students could not even ask a question in class. Through the Bologna and accreditation processes like those pursued in my institution it is changing. Also students are changing, they want to be heard; if faculty and administration don't hear them, students will make sure they are heard (Interview number 22, academic, experience in state university management and in serving on the BoT). tr. CB*

Given the young age of FUs (the first was established in 1986), alumni and alumni associations have only recently become part of universities' governing bodies and to date only two Foundation Universities have their alumni on their Boards of Trustees:

*Alumni are so critical and they must be represented in all institutional strategic initiatives, because they are our representatives, they are our connection with the real world, and they are our products. However, I don't see any systematic approach to alumni relations among Foundation Universities other than with a couple of them (Interviewee number five, experience in Foundation University management). tr. CB*

As can be seen from the responses of the interviewees, there is no consensus on who the real stakeholders of Turkish FUs are, nor what their weight in balanced decision making processes should be. The current status as described by interviewees shows that in the absence of balanced stakeholder involvement, certain stakeholders actually take on the roles of others and prevent collaborative decision making.

#### *c - Level of Institutionalisation "Kurumsallaşma"*

Another important topic, unanimously raised by participants, is the low level of institutionalization of FUs. The term institutionalization is used in a very different context in Turkey than in the rest of the world. The term "*kurumsallaşma*" (literal translation of institutionalization) is widely used in Turkey as an alternative

expression of “instituting standardized procedure based governance and management practices”, which create loyalty and ownership among the key internal stakeholders through objective, transparent and clear decision making processes.

When the interviewees were asked to elaborate further on the term “*kurumsallaşma*” with respect to Foundation University governance, they referred variously to the basic principles of modern corporate governance which include professional and accountable management, open and direct communication, long term strategic planning, clear performance systems, stakeholder involvement in decisions, the elimination of nepotism and subjective decision making, effective bureaucratic systems, and the use of data before making decisions.

*If you ask me what the single most important factor affecting shared governance is, my response will be “kurumsallaşma” - institutionalization. Institutionalization at the CoHE level, institutionalization at the university level (Interviewee number twelve, experience in Foundation University management and in serving on the BoT). tr. CB*

One of the interviewees (Interviewee number 21) refers to the level of institutionalisation as the key step towards effective governance mechanisms:

*There are very, very, very few universities in Turkey, not more than five or six, which have been able to institutionalize some of their decision making systems and we see the results.*

*Long term planning brings institutionalization (Interviewee number 21, academic, experience in Foundation University management and in serving on the BoT). tr. CB*

Participants provided multiple examples where decisions in FUs were made without transparency and accountability. In such environments it is not possible to be involved in decisions. Such a structure creates an environment where the faculty members in particular do not want to be involved in decisions, as indicated by multiple interviewees including interviewee number 16:

*Faculty members feel they are not part of the team when they see that decisions, even the ones which directly affect them, are made without their involvement. When the feeling of loyalty and ownership is lost, gone, then faculty members return to their offices and classrooms; they don't care about the decisions and it creates such an unpleasant environment (Interviewee number 16, academic, experience in foundation and state university management, in serving on the BoT and on the CoHE). tr. CB*

Several interviewees discussed the importance of bureaucracy wherein the management decisions and processes are clear and well recorded. They also stated that in almost all FUs with few exceptions, a culture of written processes is just not in place.

One of the interviewees showed the differences in the levels of institutionalization between universities in Turkey and in countries where shared

governance practices are common, such as the UK or the United States as a critical reason:

*At the end of the day those universities in the United States do the same thing we do here, teach, research and give service to the community. The way they manage their universities is so different and they create this institutionalization culture which promotes better decision making. They become sustainable (Interviewee number 18, experience in Foundation University management). tr. CB*

All interviewees mentioned that the level of institutionalization is directly related to the findings of this study and either influences those factors which were identified as hindering the emergence of shared governance or is influenced by them. One of the common conclusions was that institutionalization can only help in improving the quality of participation and in developing an effective shared governance system.

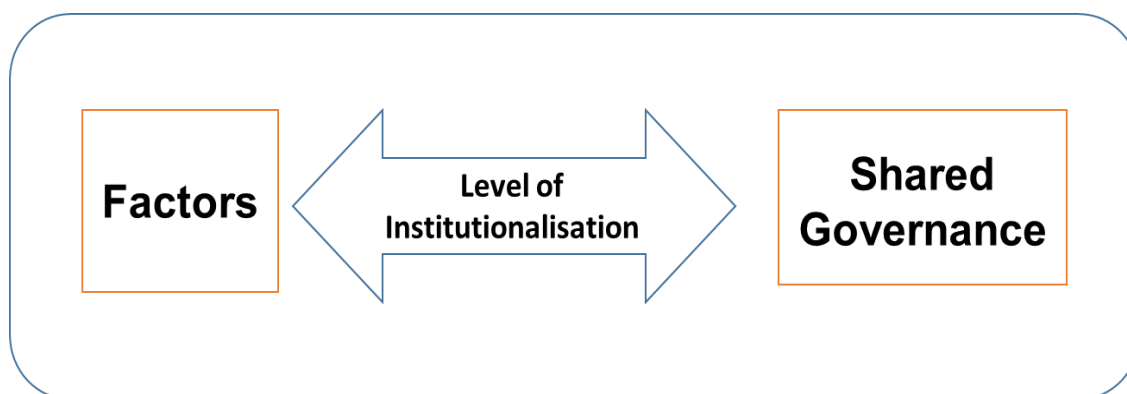


Figure 11 Level of institutionalization and its impact on shared governance

As shown in figure 11, according to the interviewees the higher level of institutionalization of a Foundation University the lower will be the impact of factors which hinder the establishment of shared governance practices. However, it seems that the interviewees conceive of institutionalization as a kind of *deus ex machina*, a miraculous cure for all the ills related to the emergence of shared governance.

### III – A Taxonomy of Factors

#### *a – Introduction*

As discussed in Chapter III, in the context of social settings that lack strong patterns, GT driven data analysis is instrumental to identifying pattern-like repetitions. This, it was argued, helped establish clear and strong themes, as interviewees provided categories which were repeated so many times they become indicative of an evident level of saturation. The emergent themes, accordingly, were found to be Founding Principles; Management Approach; Lack of Trust; Loyalty and Ownership; Maturity; Lack of Models for Governance and Collaboration; Regulations and Higher Education Law; Lack of Quality Assurance Initiatives and Audit; Politics and Lack of Autonomy and finally Culture.

The frequency scale of these emergent themes is weighted according to the experience and background of the interviewees as shown in Table 6. Interviewees in the three experience categories referred to all these themes repeatedly.



Responses according to the Experience of Interviewees			
<b>Factors Identified</b>	<b>Board of Trustees</b>	<b>Academician</b>	<b>CoHE</b>
Founding Principles			
Management Approach			
Lack of Trust, Loyalty and Ownership			
Maturity			
Lack of Models for Governance and Collaboration			
Lack of Quality Assurance Initiatives and Auditing			
Regulations and Higher Education Law			
Politics and Lack of Autonomy			
Culture			
	Identified by few (less than 30% of interviewees)		
	Identified by many (between 30% and 70% of interviewees)		
	Identified by most (more than 70% of interviewees)		

Table 6 Responses according to the Experiences of Interviewees

To begin with (a) Founding Principles, an overwhelming majority of interviewees with an academic background referred to mission, vision, and strategic long term plans as major factors hindering the establishment of shared governance practices in Turkish FUs. Similarly and relatedly, the same level of frequency was observed regarding what is called Management Approach in this thesis, particularly in the responses of interviewees with an academic background. That the academics prominently cited the decision making process, the structure of the Board of Trustees, the practices of micro management and a lack of facilitating committees as repeated themes signified the saturation of 'Management Approach'.

One of the striking things in the saturation and emergence of the themes was that the notions of job security, collaborative decision making, involvement in and participation to the processes, or in general "to be heard" by the decision makers were of primary import for those with an academic background. Grouped together in

this thesis under Lack of Trust, Loyalty and Ownership, this theme was visible to a much lesser extent in the interviews with those with experience in boards of trustees. Another emerging theme in the factors hindering shared governance, Maturity, which is referred to as the development of standards over time, gaining expertise in finding ways to progress, are mentioned by many from all backgrounds.

Lack of Models of Governance and Collaboration, another theme that came up during the interviews - and defined as the absence of models of governance and systematic approach to collaboration, inadequacy of communication and networks - is least referred to by the academics and somewhat raised more by those with CoHE and BOT experience. Lack of Quality Assurance Initiatives and Auditing (i.e. QA sessions for the views of academics, development objectives and improvement plans not being held on a shared basis, auditing mechanisms not working effectively), in turn, are mostly raised by interviewees with academic backgrounds as a factor hindering shared governance practices.

Regulations and HE Law, and Politics and Lack of Autonomy, were two other emergent themes cited by the interviewees as out-dated legal frameworks in the execution and the role of the political processes and actors limiting the autonomy of university administrations and are mostly criticized and raised by the members of the board of trustees and to a much lesser extent by the interviewees from academic backgrounds. Thus, one might argue that external factors are considered vital by the members of board of trustees compared to academics.

Last, but not least, Culture emerged as a major theme in the interviews. Interviewees from all categories invariably referred to culture, defined as national particularities in the historical development of Turkish HE, a division between state and Foundation Universities and their respective paths of developments, as well as institution-specific practices in the absence of rules and standards. Almost all interviewees from all backgrounds, attributed to Culture an extremely central role in hindering the establishment of effective shared governance mechanisms. It could also be argued that culture presents itself both as an external and an internal factor in hindering the emergence of shared governance practices.

#### *b – Factors*

##### 1 - Founding Principles

The founding principles of an institution have been a major concept frequently brought up by almost all interviewees. Almost every factor identified can be linked to founding principles, directly or indirectly and as interviewee number eight who has experience in both foundation and state university management and also in serving on the CoHE stated *“founding principles and vision are critical in governance”*.

The first common issue raised about founding principles as a major factor preventing the establishment of shared governance has been the foundation process of a university. There are very few examples where the founders of the university followed a thorough process in which the mission, vision and values of the proposed university were discussed, documented and made available for reference from

inception. On the other hand, interviewees added that there are very few examples of this type of process, as in most cases universities have been founded without strict adherence to documenting principles. Interviewee number twelve expressed such concerns as follows:

*When I look at institution X, which took several years, lots of meetings, reports, before they accepted their first students - they know where they wanted to go. On the other hand, when I look at schools like Y or Z, forget about their plans for “let’s say in five years,” they don’t even have plans for next month. One-man-show universities (Interviewee number twelve, experience in Foundation University management and in serving on the BoT). tr. CB*

When universities are launched without proper planning, nor a strong base, then they are affected much more by external factors. This is a challenge when attempting shared governance practices according to the interviewees. At the beginning they have different plans for the future of the university, but when the unexpected happens, which is very common in developing countries like Turkey, institutions are lost, precisely because they do not have strong foundation principles:

*When it comes to the finances, it is another story. Since most of the universities rely on over 90% tuition revenue, when the market turned against them due to increased supply, they started to make decisions which conflict with who they want to be and they have become something else (Interviewee number 21, academic, experience in Foundation University management and in serving on the BoT). tr. CB*

In order to have an effective governance system, institutions need to have a comprehensive long-term strategic plan shaped according to their founding principles, so that they have the right stakeholders involved in decisions. Interviewee number 21 underlines the importance of strategic planning as follows:

*Some, very few, have very clear routes which they chose at the time of their establishment, but many others don't. You can see the difference in how they manage their institutions, those without the destination in their mind, they just deal with daily things and create a management centric organization (Interviewee number 21, academic, experience in Foundation University management and in serving on the BoT). tr. CB*

Another important factor which hinders the emergence of shared governance as it relates to founding principles is whether the universities are actually true FUs or not. Since for-profit education is banned in Turkey, according to some interviewees, especially those with CoHE experience, it is obvious that several universities are managed like a for-profit under a not-for-profit identity. Without question this impacts shared governance practices, as the for-profit institutions and those institutions that are managed like family owned companies will have very different management styles, as interviewee number one and three told:

*There are different types of Foundation Universities, with some of them founded to be not-for-profit but striving to be for-profit. This is illegal but everyone knows that they are for-*

*profit. You cannot hide (Interviewee number one, academic, experience in foundation and state university management, and in serving on the CoHE). tr. CB*

*Many of them do not carry the characteristics of being a university, they are like a shopping mall. Commercialization of a university is a serious risk, higher education has public good elements and when you treat it like a commodity then you cannot have shared governance in universities (Interviewee number three, academic, experience in Foundation University management and in serving on the BoT). tr. CB*

The interviewees mostly listed the founding principles as the first factor before discussing the others and stressed their importance as being the fundamental for the future of the university.

## 2 - Management Approach

When asked, all interviewees referred to the management approach of the institution as an important factor preventing the emergence of shared governance in Turkish Foundation Universities. However, while some interviewees referred to the overall management practices of the institution solely affected by the founders' approach others referred to more specific items related to management.

Transparency and clear decision making processes are two major areas of concern according to the interviewees. They all complained that decisions in Foundation Universities are made at the top and the rest of the university is just

asked to implement them. The importance of proper and transparent decision making processes plus the recording of them are identified as important barriers to the emergence of shared governance in Turkish Foundation Universities:

*When our governance model was audited it turned out that we do not have the bureaucracy to support a proper management system. No record of meetings, no record of decisions, who follows up, who makes which decision (Interviewee number 14, academic, experience in Foundation University management and in serving on the BoT). tr. CB*

The arguments gathered overwhelmingly around decision making processes, the role of the Board of Trustees, micro management and the lack of committees in which stakeholders can participate and have their voices are heard.

#### *i – Decision-Making Process*

As one of the interviewees stated, a proper governance style should allow issues to be resolved and decisions to be made at as low a level as possible. However, it was also stated by many of the participants that Foundation Universities have very poor and ineffective decision making processes. As HE in Turkey is highly regulated and the roles of each player are very clearly stated, it creates a system where most of the weight is carried by the top management, in this case the President of the Board of Trustees and the Rector:

*Since we cannot talk about the level of institutionalisation and professionalism among the Foundation Universities, decisions are left with certain key position holders (Interviewee number 12, experience in Foundation University management and in serving on the BoT). tr. CB*

*Instead of trying to make all decisions at the top, management can use the Rector as a bridge and create effective governing systems (Interviewee number 20, experience in Foundation University management and in serving on the BoT). tr. CB*

*The Rector is critical; the regulations give so much power to him. If he believes in collaboration and participation then he can turn the university into such a democratic one, but if not, then it will be a hell (Interviewee number one, academic, experience in foundation and state university management and in serving on the CoHE). tr. CB*

On paper, through legally mandated committees, these decisions are made through certain governing boards, but interviewees tended to point out that the power holders enjoy a lack of transparency, discourage participation, and implement a very authoritarian management style.

## *ii - Structure of Boards*

As the top authorities of the Foundation University, the Board of Trustees and its President have extensive power over the university. Several people interviewed stated that the term 'Board' is misleading as the decisions are made most



of the time by the President alone, and other trustees do not actively contribute. As in the examples provided below, several interviewees shared the same perception about the role and structure of the Board of Trustees:

*It is either the president or a couple of people around him. Trustees consider showing up to the meeting is enough, they don't understand the business, they don't invest their time. I read once that a board member would give at least one of the three w's -- work, wisdom, wealth. I don't think in Turkey they do that. (Interviewee number 17, academic, experience in Foundation University management). tr. CB*

*If you look at the boards you will see most of the trustees are either family members or close friends of the founder. Their contribution to the university is limited (Interviewee number twelve, experience in Foundation University management and in serving on the BoT). tr. CB*

Interviewees also indicated that the term Board of Trustees does not mean the same as it does in US, Australia, or UK and they act more like a Board of Directors who give themselves operational responsibilities. Several of the interviewees underlined the difficulty of talking about fiduciary responsibilities, as they act like they are the owners of the universities:

*These are first generation Boards of Trustees, they don't know any other models, examples, and they don't want to learn. This is a Turkish style trusteeship. They have no patience, and they want to run their university like it is their own business (Interviewee number 16,*

*academic, experience in foundation and state university management, in serving on the BoT and on the CoHE). tr. CB*

*The weight of the Board of Trustees defines the roles of the others, they are dependent variables (Interviewee number 21, academic, experience in Foundation University management and in serving on the BoT). tr. CB*

As discussed by all interviewees without exception, the Board of Trustees, but more importantly its President, who is also most of the time the founder of the university, has so much power and influence on how the universities are managed and governed and both are considered as an important factor in the establishment of shared governance.

### *iii - Micro Management*

The interviewees shared several examples of micro management by those who hold power, such as resistance towards delegation and discouraging others from making decisions. These styles, as well as an overly auditing and scrutinizing approach, are elements which conflict with many basic principles of shared governance such as delegation, collaborative approaches and teamwork. Interviewees claimed that those who hold excessive power due to legal and other reasons tend towards micro management.

The following interviewees' statements support the overall comments on the enormous power the Board of Trustees President and Rector hold:

*The Rector has so much power, whatever one tries, decisions will end up coming to that level.*

*No one wants to take initiatives or responsibilities, it is always the Rector who knows best*

*(Interviewee number nine, academic, experience in Foundation University management and in serving on the BoT). tr. CB*

*The President of the Board thinks that he knows everything, they bypass all the academic traditions, the chain of command and want to be involved in every decision (Interviewee number eight, academic, experience in foundation and state university management, in serving on the BoT and on the CoHE). tr. CB*

Given the complex and unique structure of a university and when especially operating in such a dynamic market like Turkey, a tendency towards micro-management by key position holders such as the President of the Board of Trustees or the Rector creates an environment where shared governance cannot flourish.

#### *iv - Committees*

Interestingly, while everyone interviewed spoke highly of the role and impact of committees, not many institutions actively implement them. It is said that due to the approach of top management even those mandated by law work poorly and do not properly serve their purpose. Some institutions have written management

policies and procedures identifying the types of committees needed, however attempts to use them have resulted in various inactive committees with declining participation. Interviewee number one states:

*Current regulations do not address the needs of today's universities in terms of committees.*

*The universities must develop their own structures; learning how to synchronize them and aligning with the rest of the system is a challenge (Interviewee number one, academic, experience in foundation and state university management and in serving on the CoHE). tr.*

CB

Whether it is mandated by the law or encouraged by the management, the interviewees overwhelmingly expressed that the committees do not work as effectively as they should, so a collaborative decision making culture and environment can be established.

### 3 – Lack of Trust, Loyalty and Ownership

When asked, one of the interviewees (16) with diverse and rich experience in Turkish HE, underlined the importance of trust for any type of effective governance requiring participation. Several other interviewees (e.g. 22) stressed the importance of trust, especially when the aim is to encourage academics to be involved in governance and contribute.

*Actions of the upper management cause academics to feel like they are temporary*

*(Interviewee number 16, academic, experience in foundation and state university*

*management, in serving on the BoT and on the CoHE). tr. CB*

*When there is a disconnect between the top management, in this case the Board of Trustees and the Rector with the rest of the campus, then this trust issue affects all other stakeholders, including students, alumni and industry (Interviewee number 22, academic, experience in state university management and in serving on the BoT). tr. CB*

In the absence of trust, the members of the institution will not feel loyalty towards the institution and the feeling of ownership will not exist. Interviewees stated that in the case of such an environment, academics will turn inward, and focus on their personal research and teaching without worrying about institutional goals. In order to avoid this situation, the alignment of personal and institutional goals must be achieved. One particular anecdote is worthy of quotation in full:

*When I was running for the Rector position at X University one of my colleagues went to another university to teach a course. My friends at the university asked him if he would vote for me or not. When they learned that he was going to vote for the other candidate they were surprised and asked why. He told them that if I were elected as the Rector, I would make him and everyone else work harder, however, if the other person was elected, he would not demand anything extra from him so he can continue to work less. When the institutional and personal objective functions are different, then you cannot expect people to participate*

*in a meaningful way (Interviewee number nine, academic, experience in foundation and state university management and in serving on the CoHE). tr. CB*

Those who were interviewed also drew attention to concerns over job security: a major component in the necessary trust and willingness to participate and thereby contribute to shared governance. Unfortunately, according to several interviewees, academics face issues regarding their employment and they are often treated like part time adjunct faculty members, while working full time. One interviewee (number 16) shared the high level of ownership expressed by the academics in a state university due to job security as follows:

*When I was working at a state university, the academics were like falcons, attacking the Rector and challenging him on every issue. When I came to the Foundation Universities I see the same academics not even making a single comment. They don't feel safe, they don't feel secure so they will not participate, they will not engage (Interviewee number 16, academic, experience in foundation and state universities, in serving on the BoT and on the CoHE). tr. CB*

*Reaction is actually good, it shows ownership and loyalty, but when they show a reaction, the Board of Trustees does not like it (Interviewee number five, experience in Foundation University management). tr. CB*

Continuing this same observation, another interviewee (21) expressed a lack of ownership by the academics because of the low level of trust:

*Academics do not trust the contracts, they feel like they are squeezed and they will be thrown away like lemons (Interviewee number 21, academic, experience in Foundation University management and in serving on the BoT). tr. CB*

Such an environment where academics do not trust university management and when this is combined with termination of contracts or agreements without proper or documented due cause, trust inevitably evaporates. In this climate, academics will fear losing their positions, asking them to participate in governance, to provide feedback - and perhaps at times even simply to disagree with management to stay true to their beliefs and values – these are just not possible.

#### 4 - Maturity

In 2016, when Ankara's İhsan Doğramacı Bilkent University, the first Foundation University in Turkey, celebrates the 30th anniversary of accepting its first students, only a handful of other Foundation Universities will be celebrating their 20th year in existence. Perhaps most striking of all is that more than half of the Foundation Universities in existence in Turkey today will graduate their first class in 2016. There is a direct linkage between the maturity of the institution and their governing principles, as well as between all the other factors which have surfaced as a result of this study and have been set out in this chapter. As shared by some of the

interviewees, Foundation Universities need time to test their governing principles and make changes to ensure proper governing principles are implemented. The relative young age of Foundation Universities and the concomitant impact of a lack of maturity on processes of institutionalization and management is here emphasized by, interviewee number seven:

*Since the Foundation Universities are so young they are vulnerable to external factors.*

*Rankings can be a great example: Foundation Universities, instead of developing a strategy and working out a governance structure, they panic and react like crazy (Interviewee number seven, academic, experience in foundation and state university management, in serving on the Board of Trustees). tr. CB*

It has also been expressed that this is a learning process and both the CoHE and Foundation Universities are learning together. While some of the participants (those with a CoHE background) have more patience for this learning process, others have been much more critical of the CoHE, accusing them of not maturing as quickly as have the Foundation Universities.

Interviewees also criticized the founders of the universities for having no patience, a problem which could perhaps be traced to their having no experience in running a university. Those interviewed commented that this has led to founders having placed institutions under unnecessary stress, resulting in their governance systems not working effectively:



*As learning organizations, the CoHE, Foundation Universities and all other parties must learn and mature together (Interviewee number six, academic, experience in Foundation University management). tr. CB*

Interviewee number 16 draws attention to the difference between the HE sector and the business world by criticizing impatience as a characteristic of certain founders of the universities:

*The founders have no patience, they are successful businessmen and in life they get what they want very quickly. However, higher education is different, they don't understand this and they force the institution, the system, the governance structure and create an institutional culture which cannot produce sustainable growth (Interviewee number 16, academic, experience in foundation and state university management, in serving on the BoT and on the CoHE). tr. CB*

Discussed further under the concept of maturity and autonomy elsewhere, the lack of endowments impacts many other factors as well. Due to their shorter length of establishment, it is not expected that the Foundation Universities will have large endowments to provide them with the necessary financial independence to help them mature. Moreover, the current culture and regulations do not encourage this. Without such a structure, the Foundation Universities will continue to have autonomy and governance issues, as explained by interviewee number 21:

*When looking into the world's top private, but not-for-profit institutions you notice that they have large endowments. These endowments help them to be independent, help them to have power to fight against any challenges and continue to move forward towards their vision. The CoHE and government need to make changes to allow such an environment (Interviewee number 21, academic, experience in Foundation University management and in serving on the Board of Trustees). tr. CB*

Thus maturity has a critical role in the establishment and development of shared governance practices in Turkish Foundation Universities; however, maturity on its own does not assure the establishment of effective shared governance, unless all the other impeding factors are addressed through proper institutionalization.

## 5 - Lack of Models of Governance and Collaboration

As discussed during the literature review, the governance concept in Turkish HE is not an area which has been discussed or studied from a professional or a scholarly perspective heretofore. While the Turkish HE market as a whole is one of the largest markets in the world, with over six million students currently enrolled, it has yet to develop a model governance system. It is striking that this large and diverse body continues to be managed through out of date centralized regulations and procedures. In the interviews the lack of such a governance model, together with ineffective collaboration, were identified as important factors hindering the emergence of shared governance in Turkish institutions. The need for such a platform is expressed by interviewee number seven:

*There is no good model available in terms of governance, partnership, working together.*

*There is no place where ideas can be shared and institutions can learn from one another*

*(Interviewee number seven, academic, experience in foundation and state university*

*management and in serving on the CoHE). tr. CB*

One of the few professional organizations which does bring Foundation Universities together is the Association of Foundation Universities. However, according to their website, only 26 of 77 Foundation Universities are members of this organization. In the last five years there have been serious attempts to expand the membership of the association and for it to become a true resource centre, but these efforts have not been very successful.

According to the interviewees the reports, publications and meetings conducted by the Association discuss governance and management issues in a general sense and it responds only to urgent legislative issues, thus making the Association a reactive, rather than proactive body. The following extract is a strong criticism of the association by one of the interviewees (interviewee number 15) whose HEI is also a member, as well as one by another interviewee (interviewee number five) whose HEI is not a member:

*The Association is in such a terrible position. I have been involved from the beginning. No one believes, no one comes. When there is an urgent issue they all call and join the board to visit government officials. We don't have any lobbying power though, we are not influencers*

*(Interviewee number 15, experience in Foundation University management and in serving on Board of Trustees). tr. CB*

*The perception of the Association is not good, when you review the member schools the top institutions are not there (Interviewee number five, experience in Foundation University management). tr. CB*

The attempts to bring Foundation Universities together have failed so far, resulting in no single platform for universities to share ideas, best practices, best learning from each other, in order to develop a model. With this lack of any national platform, the state of Izmir universities (including state universities) have gathered together and discussed many issues including governance. However, just like groups specializing in an academic discipline, the Izmir University Platform does not address specific issues related to the governance of Turkish Foundation Universities. Although the need for such a resource has been widely proclaimed by the participants here, the CoHE has not taken the lead to organize such events:

*There is no network, no place to share practices and learn from each other (Interviewee number seven, academic, experience in foundation and state university management and in serving on the CoHE). tr. CB*

Symbolizing this lack of interuniversity collaboration is the curious location of the interuniversity council in the complex of the CoHE, the official and absolute regulating authority.

*When there is no benchmark, no peer institutions it is hard to make comparative decisions and learn from each other (interviewee number nine, academic, experience in Foundation University management and serving on the BoT). tr. CB*

While it is discussed later in this chapter under the sub-heading covering the regulations and its impact on shared governance, several participants complained about how the current regulations and especially the CoHE encourage and even sometimes force institutions to have a vertical relationship solely with the CoHE, instead of a horizontal relationship with other universities. Many interviewees believe that the CoHE has an unspoken agenda to maintain strict control over the institutions by not allowing this type of communication, keeping interaction within a very limited scope. However, it also needs to be acknowledged that the new CoHE President who was appointed in 2015 made statements to encourage collaboration and communication among institutions.

The current regulations and procedures make it extremely hard for institutions to work together on any issue, be it launching a dual degree program, setting up joint research or organizing policy centres or conferences together. One of the Foundation University leaders (interviewee number 20) stated:

*When the regulator puts control as the main reason for its existence and ignores the power of sharing, then it will encourage limited interaction. That is what the CoHE does: they don't allow schools to talk and engage, and interact, and they want everything to go through the CoHE (Interviewee number 20, experience in Foundation University management and in serving on the BoT). tr. CB*

The admittedly limited chances for institutions to interact with each other and work together to develop and share best practices in various areas including governance, creates a headwind for institutions to be a learning organization and to encourage the establishment of a collaborative governance model.

## 6 – Lack of Quality Assurance Initiatives and Auditing

One of the biggest deficiencies of Turkish HE is the lack of independent QA mechanisms that institutions are required to meet to be accredited. The current system requires institutions to have approval from the CoHE but this in itself does not bring any governance standards. The interviewees -- particularly those involved in international accreditation processes, which are slowly becoming a trend in Turkey -- discussed the importance of these accreditors' requirements on governance. In the absence of such requirements, institutions do not feel obliged to practice shared governance practices, maintain transparency and become more institutionalized. As an academic who is actively involved in the accreditation process, interviewee number 22 stated:

*Accreditation requires an effective and active participation of students, we had to make changes in our governing principles and include them (Interviewee number 22, academic, experience in state university management and in serving on the Board of Trustees). tr. CB*

One participant specified that the QA initiatives can become catalysts for change in the governance culture of the institutions. One might think that in such a regulated market there would be very comprehensive and strict audit mechanisms. However, as confirmed by those who have been through several CoHE audits, the current auditing process does not cover any aspect related to governance. Auditors conduct an audit only on document verification and validation but never question how decisions are taken and whether proper governance principles were applied. Interviewee number 21 shared his personal experience in explaining the shortfalls of the current auditing system related to governance:

*Every year when they come they ask to see the Board of Trustees decision books to check the decisions taken by them. However, what they check is if the members signed the decision or not, they don't even read the decision, it is just signature checking (Interviewee number 21, academic, experience in Foundation University management and in serving on the BoT). tr. CB*

Another critique of the audit is related to the post audit reports. Participants confirmed that these reports do not provide any constructive feedback to

the institutions related to building a better governance system, they simply provide more general operational and procedural feedback.

*What you receive from the CoHE is six, seven pages of feedback with a list of missing documents, signatures, folders, etc. They don't tell us how we can change our governance and decision making processes to be a better institution. Honestly, I don't think they know the answer (Interviewee number 18, experience in Foundation University management). tr. CB*

In a limited but very effective scope, the EUA conducts an Institutional Evaluation Program and assesses institutions on several areas including teaching and learning, research, service to society, quality management, internationalization and more importantly governance and decision making.

Since the introduction of this volunteer evaluation program in 1994, nearly 400 institutions from 45 countries have participated. In 1999, Boğaziçi University, a leading state university in Turkey, became the first Turkish institution ever to participate in this process. Since then, 33 institutions from Turkey have followed, nine of them Foundation Universities. In 2009, the EUA began to publish evaluation reports on their website, bringing additional accountability and transparency to the process. Currently, seven of the nine Foundation University reports are available on the web site (IEP, 2015). In reviewing sections on governance in these evaluation



reports, the following themes related to obstruction of establishment of shared governance in Turkish Foundation Universities are found:

The complicated governing structure of the CoHE causes confusion and creates a challenge to a campus wide effective structure. Universities have their own additional decision making committees but in several cases these are either not in compliance with the regulations, are disconnected from actual governing bodies, or are creating confusion in the organization.
Students are severely underrepresented, and they should be included in all decision-making bodies.
The role of the President of the Board of Trustees and its weight on the organization is also brought up as an area which needs to be reviewed.
The top down approach is a very common practice and power is always centralized at the top.

*Table 7 Common findings on governance for Foundation Universities completed IEP Process, (IEP, 2015)*

The absence of independent QA mechanisms and effective auditing systems create challenges for Foundation Universities in developing effective shared governance practices as deficiencies or shortfalls of current governance models are not identified or forced to change.

## 7 - Regulations and Higher Education Law

All interviewees were adamant that the current higher education act, introduced after the military coup in 1980, does not meet the needs of a rapidly developing and changing Turkish HE system. The related law has several

challenges including issues concerning the governance and management of Foundation Universities.

On the other hand, several interviewees indicated that while the current HE act has serious shortcomings, it does mandate certain shared governance principles through its regulations. The University Executive Board and Academic Senate are two such bodies that do have to work with the Board of Trustees in making major decisions and through this legally enforced structure a certain level of participation and stakeholder involvement is assured. This guarantee of sorts is appreciated by some of the interviewees, who describe it in the following statements:

*Higher Education regulations push some level of shared governance. If certain boards were not mandated, then some universities would never call for meetings. This checks and balances system forces the Rector and the Board of Trustees to be more careful and open to shared governance (Interviewee number one, academic, experience in foundation and state university management, in serving on the BoT and on the CoHE). tr. CB*

However, this limited “benefit” does not fully offset the well-deserved criticism of the system and regulations in terms of governance according to these two interviewees amongst others:

*Due to the regulations, the higher education governance system in Turkey, is a utopic system, which is designed not to make any decisions, and not to allow institutions to make any*

*decisions (Interviewee number 17, academic, experience in Foundation University management). tr. CB*

*The system requires some level of shared governance but it is more like checking a box, nothing serious, nothing real (Interviewee number two, academic, experience in foundation and state university management, in serving on the Board of Trustees). tr. CB*

Most of the critiques and complaints focus on the CoHE and the way it implements the current regulations. The out of date and incomplete regulations cannot meet the challenges of today, and provide a forum for perceptions to the CoHE to launch its subjective and politically influenced policies. Without exception, all 22 of the interviewees believe that the CoHE can neither serve the needs of today's institutions, nor stakeholders and must therefore be restructured. It serves as a roadblock to autonomy, decentralized management and shared governance. The role of the CoHE is widely criticized in Turkey more generally and like all the participants here, most of those involved in HE are moving towards demanding that the CoHE accept a coordinating and auditing role rather than continuing to attempt to manage the entire system and all its myriad institutions largely on its own. Discussions around the role of CoHE have been receiving large media attention for several years and all political parties, current and past CoHE members and other key stakeholders publicly state the need to change the Higher Education Law and the role of the CoHE as well.

Such a system and governing body would also allow the political power holders to become involved in HE much more readily and deeply. Interviewee number eight gave an interesting example to explain the role of Turkish politics in the governance of HE:

*If the CoHE was an agency in Sweden, they may not have the problems we are having. First of all, the system is mature and settled. Secondly, whoever the King, Prime Minister and Cabinet appoint they will be independent, fully qualified experts and work together. In Turkey every time the government or president changes then the entire strategy changes (Interviewee number eight, academic, experience in foundation and state university management and in serving on the CoHE). tr. CB*

Another common complaint about HE law and the practices of the CoHE is that they do not respect and encourage diversity. The common theme and understanding of the law is that all HEIs must be the same, they must be governed with the same policies, and no differences should be tolerated:

*The CoHE does not have the energy, vision and resources to tolerate diversity. They want all institutions to look the same, and they want to manage according to the lowest standards so they can outline one set of rules that everyone must follow (Interviewee number four, academic, experience in Foundation University management and in serving on the Board of Trustees). tr. CB*

Those interviewed who worked at the CoHE were also very vocal against current HE laws and the CoHE structurally, but in a much less strident tone:

*It is important that the CoHE does exist. I agree it reduces autonomy but let's not forget more independent systems have longer histories and they have already developed traditions; their systems and universities have been institutionalized, some for centuries. For countries like Turkey, you always need a body like CoHE, in order to keep things under control. However, I know that the way CoHE operates today it creates problems. It needs to be changed - both CoHE and the Law (Interviewee number one, experience in foundation and state university management, in serving on the BoT). tr. CB*

Overwhelmingly, all of the interviewees identified the current Higher Education Law and the governing body of the CoHE as the major factors preventing the emergence of shared governance practices in Turkish institutions.

## 8 - Politics and Lack of Autonomy

As a developing country, the role of politics in Turkey is quite different when compared to developed nations, especially when the relationship between elected officials and HE is examined. In particular, national and locally elected officials and the political parties who hold power become involved in the daily operations of HEIs, thereby posing significant governance challenges. Since the laws governing HE provide extensive powers to the CoHE - and as a constitutional organization- it is supposed to be independent. However, as its President and

members are directly appointed by the Turkish President and Prime Minister, it is almost impossible to talk about independence. When modern Turkish history is examined, it can be seen that Turkish HE institutions have always been at the centre of the political world, and politicians have tried to use them for their own political agendas. Even with the military coups that Turkey has faced over the last 60 years (most recently in 1980) universities and academics have been pulled into the fights, thereby turning universities into active political institutions. Without exception, all participants agreed that political influence and autonomy issues are two of the most crucial factors preventing the emergence of shared governance in universities.

With respect to Foundation Universities one might think that as Foundation Universities do not receive any funding from the state, influence should be limited. However, Foundation Universities do not have financial independence at this time and depend heavily on tuition revenue and the support of the founding foundation. The current regulations give CoHE the power to decide on how many new students each university can admit; in addition to approving any new programs offered by them, they have direct power to affect institution's financial plans and budgets. Also, since the founding members of the foundations have other businesses requiring them to interact with political power holders, it makes them doubly vulnerable, as the following interviewees clarify in underlining the importance of the issue:

*Without financial freedom you cannot create autonomy and academic freedom (Interviewee number three, academic, experience in Foundation University management and in serving on the Board of Trustees). tr. CB*

*In the absence of objective and global standards, institutions are becoming more dependent on political entities. When those supporting the ruling party receive favourable treatment, such as new program approvals, number of seats, audit processes, etc., then we cannot talk about autonomy (Interviewee number five, experience in Foundation University management). tr. CB*

Without exception all 22 interviewees stated that such a politically influenced environment results predominantly in academics not being part of management decisions or causes stakeholders to be polarized, dependent on their political views. This common concern has been shared by both academic and non-academic leaders of the universities:

*When academics and others see that their voices don't matter and the decisions at the top will be taken according to the political climate - or their decisions will be overridden after a call from Ankara - they turn their back and focus on their teaching. This is not what a real university does (Interviewee number 22, academic, experience in state university management and in serving on the BoT). tr. CB*

As expressed by interviewee number twelve, under the current ruling party (which has won most of the local offices and secured a majority in the parliament) and two of whose founders have been selected as President of the country in the last fourteen years, the political influence felt by universities has been increasing:

*In the last five years things have gotten much worse, we are becoming more and more open to political influence; the universities have no walls protecting them from this influence, and we are becoming a division of the ruling party (Interviewee number twelve, experience in Foundation University management and in serving on the BoT). tr. CB*

University Autonomy, in Europe II (Estermann et al., 2011) is a scorecard providing comparative figures on three different areas of autonomy: Organizational Autonomy, Financial Autonomy and Staffing Autonomy. As can be seen in Table 3, the autonomy score of Turkish higher education among 28 European counties is not good. In Organizational Autonomy category, Turkey scored 33% and was listed as number 27 in a list of 28, just ahead of Luxembourg. Due to Foundation Universities' special stature, they enjoy more independence in financial autonomy and partial independence in staffing autonomy (as they are subject to the same promotion and appointment procedures as state schools), but they are mostly in the same position as state universities in organizational autonomy.



Several interviewees referred to this and other reports discussing and questioning the autonomy of Turkish universities. While a majority of respondents indicated that both HEIs and the CoHE should have full autonomy, some argued that as a government agency CoHE does not need to be fully autonomous. The issue of autonomy is discussed as follows by interviewee number two, who has experience in the management of both state and Foundation Universities:

*The CoHE does not need to have full autonomy, the universities need to have it. At the end of the day the CoHE is a governmental organization, regardless of whether it reports to the President or not; it should follow the policies of the government, the strategic plan of the country, but give full autonomy to the institutions (Interviewee number two, academic, experience in foundation and state university management and in serving on the BoT). tr. CB*

The more institutions become open to political influence, the deeper the autonomy issues they will face, the majority of interviewees contend. The increasing involvement of politicians and politically motivated regulators in the governance of Foundation Universities, as we have witnessed more and more over the last decade, will make it even more challenging to create an environment where stakeholders freely and effectively participate in decision making processes.

## 9 - Culture

According to all of the interviewees, one of the most significant factors hindering the establishment of shared governance in Turkish Foundation Universities

is culture. Interviewees identified culture as a factor which has significant and dominant impact on all the other identified factors.

Some of the interviewees refer to the national culture and argue that its characteristics create barriers towards any type of collaborative decision making. Interviewee number nine gave an example of her own about the national culture:

*I custom ordered a meeting table with a big hole in the middle. In every meeting I ask everyone to drop all the personal issues related to whatever we discuss into this hole. It is such a different culture; in the West professionalism takes the lead, here everything is personal. It is not only in the university, wherever or whatever I am involved in it is always personal (Interviewee number nine, academic, experience in Foundation University management and in serving on the Board of Trustees). tr. CB*

Interviewee number seventeen identifies the indirect communication and reluctance to criticize authority as important elements of the national culture which contradicts with shared governance:

*I am not sure if it is realistic to expect anyone in a Foundation University to be involved openly and directly even in a meeting with management. It is in our culture to be indirect, provide indirect comments and never dare to challenge management, or the authority, or the power in most of the cases (Interviewee number 17, academic, experience in Foundation University management). tr. CB*

Additionally, all interviewees referred to Turkish academic culture as an important sub-factor, some of the findings indicate mostly negative perceptions, with regard to shared governance. Those without academic experience, especially those who serve on the Board of Trustees, tend to consider Turkish academic culture, which is unduly influenced by the state university culture, as very traditional, arrogant, and conservative. This conservative and elitist approach (Interviewee number 21, academic, experience in Foundation University management and in serving on Board of Trustees) causes institutions to react slowly to changes in the marketplace, a disadvantage in a highly competitive environment. One interviewee (Interviewee number ten with a management position in a Foundation University) favoured more involvement of business and management people in governance and shared the following concerns:

*Academics are very arrogant, to an extreme that can almost be called academic chauvinism. They don't listen to anyone else, they think they know everything, and because of this they don't like to participate and don't like being challenged. Since you cannot manage a university without them, the only way to handle the situation is to reduce their weight, their influence on the governing system by increasing the weight of business people (Interviewee number ten). tr. CB*

Academic leaders in particular listed oversensitivity as an important factor affecting individuals in their participation, to the extent that interviewee number nine calls it “*academic oversensitivity*”, and talks about their personal experience and need

to develop various strategies and policies to overcome it. In addition to oversensitivity, the level of personalization of institutional matters and how they affect professional decision-making are identifiable factors in shared governance practices.

It has been mentioned above that since Turkish Foundation Universities are very young, they have been overly influenced by state universities, not only as a model to follow, but also through the hiring in of academics from state universities. A large proportion of top academic managers at Foundation Universities have careers which started and were shaped in state universities, and the same holds true for many academics and administrative leaders. These individuals carry certain characteristics of state university culture with them into the Foundation Universities, whereas the management and the Boards of Trustees of Foundation Universities bring aspects of the business world.

One university leader (interviewee number ten) who compares those academics with state university experience, as opposed to those with business experience, shows the varying attitude towards them:

*When we hire our business leaders and academics with private sector experience, they bring dynamism, they bring excitement. It is like we speak the same language (Interviewee number ten, experience in Foundation University management and in serving on the BoT). tr. CB*

From an academic's perspective, another of the participants shared a supporting, but conflicting statement:

*We academics do not like to involve non-academics in academic matters; we keep the doors closed and we do not accept them. (Interviewee number eight, academic, experience in foundation and state university management, and in serving on the BoT and on the CoHE).  
tr. CB*

Since the regulations consider all faculty at state universities to be fully tenured government officials with job security for life - with minimum performance requirements - they live in an environment where speed is very slow and expectations are very low. The exception to this is selected state research universities, where national and international research grants and funding create important intrinsic motivation. Foundation Universities have been experiencing an interesting interaction of academics with state university experience and others including top management with corporate world experience.

Despite their youth, some Foundation Universities have begun to build their own institutional cultures considered by several interviewees as an important factor when shared governance is discussed. All the factors discussed in this chapter affect this institutional culture, including, but not limited to the foundation principles, management style, and the maturity of the institution. Some participants insisted that institutional culture has not been well established in Foundation Universities given

their very young ages, but some argued that certain institutions have differentiated themselves through the institutional culture they have begun to create. It has been further suggested that these widely varying institutional cultures have contributed significantly to both some good and other extremely bad examples of shared governance.

Those who believe Foundation Universities have yet to fully develop institutional cultures relate their comments not only to the relative maturity of the institutions, but also to the role and weight of those founders who are very active in governance. Interviewee number 17 links this with the maturity of the institutions:

*No institutional culture has developed yet, number one it is too early, these schools are young. They grow so fast; they have other needs. It is not the institutional culture; it is the management style of the owner which seems like a culture now. It is always the urgent pushing the important away, there is no patience for a culture to be developed now (Interviewee number 17, academic, experience in Foundation University management). tr. CB*

While almost everyone made a reference to the role of the institution's culture, interviewee number 18 underlined that it is the absence of education and professionalism at managerial levels which seems to push culture to the forefront.

*I don't believe that culture is the issue here. It is not the culture. It is not an important factor; it is more about education and professionalism. What we are missing is professional*

*management and institutionalisation (Interviewee number 18, experience in Foundation University management). tr. CB*

Whether it is the presence of the wrong culture or the lack of any culture, it is also said that in many institutions the academics do not have the desire for, nor any understanding of why they should pursue shared governance. The vision, values and mission set out by the founders definitely play an important role in the establishment of the institutional culture and its impact on the development of shared governance.

As shared by all the interviewees, culture as a dominating factor in the prevention of establishment of shared governance in Turkish Foundation Universities and has tremendous influence on all other factors, as well as on the level of institutionalization of the institution. It is critical to understand how national and Turkish State University cultures have ramifications the development of the institutional culture, in addition to the impact of the corporate culture imposed by the founders.

### *c - Conclusion*

Interviewees overwhelmingly identified certain factors which represent a direct and clear line to hindering the establishment of shared governance, as well as some factors that present a complex and a diverse relationship. In order to

categorize them in a meaningful way and represent these factors through systematic connections, all except one of these factors are grouped under two main categories.

As shown in Table 8, the factors identified by the interviewees as directly related to institutions are grouped under Institution Specific Factors. This group of factors which is also called internal factors are the Founding Principles, Management Approach, Lack of Trust Loyalty and Ownership and Maturity. The remaining factors are grouped in ecosystem-wide or external factors. These factors, namely, Lack of Model and Collaboration, Lack of Quality Assurance Initiatives and Auditing, Regulations and Higher Education Law, and Politics and Lack of Autonomy have impact on the entire HE system more than on the institutions individually and they are much stronger on the system itself.

Categorization of Findings		
Institution Specific (internal) Factors	Ecosystem-wide (external) Factors	Overarching Factor
Founding Principles	Lack of Model of Governance and Collaboration	Culture
Management Approach	Lack of Quality Assurance Initiatives and Auditing	
Lack of Trust, Loyalty and Ownership	Regulations and Higher Education Law	
Maturity	Politics and Lack of Autonomy	

Table 8 Categorization of Findings

Culture as a single most important factor preventing the establishment of shared governance in Turkish Foundation Universities was identified by all interviewees. This dominating factor has tremendous direct impact on both institution specific and ecosystem-wide factors.



All of these factors identified by the interviewees and categorized in Table 8 show the complex and interrelated connection of factors as preventing the establishment of shared governance in Turkish Foundation Universities.

## IV – Conclusion

In this chapter factors hindering the establishment of shared governance practices in Turkish Foundation Universities were classified according to the outcomes of the field research, based on the GT approach. Conceptualized with the notion of “Shared Governance *A la Turca*”, the peculiarities of the Turkish Foundation Universities and of perceptions of shared governance by key stakeholders are presented. Accordingly, three major aspects of “Shared Governance *A la Turca*” were identified through the interviews as absence of overall consensus on shared governance, confusion over the roles of stakeholders and finally what interviewees refer to as the issue of level of institutionalisation “*kurumsallaşma*”.

Next, within this context of “Shared Governance *A la Turca*”, the chapter classifies two major sets of factors, namely institution specific (internal) and ecosystem-wide (external), to offer a general snapshot of these factors that hinder the emergence of shared governance in Turkish Foundation Universities. Culture, however, was found to be the overarching factor that not only hinders the emergence of shared governance by itself, but also acts as a catalyst of hindrance across both sets of factors.

As yet these factors are presented in the form of a catalogue of variables; the task of establishing their more complex interrelations is left to the next chapter where an anatomy of them is offered along with relevant policy recommendations in each issue area.

## Chapter V Discussion

### I – Introduction

This chapter builds on the interview findings and discusses them individually and in relation to one another. This relational perspective will provide a kaleidoscopic view of the complexity of these factors in hindering the emergence of shared governance in Turkish Foundation Universities. It presents an analysis of these factors and offers some concrete policy recommendations emerging from the data and informed by my long standing insider role in the Turkish HE system that I believe would help advance the shared governance practices of the Foundation Universities.

The chapter starts (I) by presenting an overview of factors hindering the emergence of shared governance in Turkish Foundation Universities to account for the complexity of the interrelations of factors from the outset. Section II accordingly gives a brief description of how the GT approach is utilized to bring more important factors to the fore in the absence of a more established conventional sociological model. The next section (III) then dwells on a common mediating theme, namely the level of institutionalization as a mechanism that filters each and every individual factor contributing to impeding the establishment of true shared governance in Turkish Foundation Universities.

The next two sections will elaborate further on factors both individually and in groups. Together, they offer detailed discussion of institution-specific and ecosystem-wide factors i.e., internal and external factors respectively. Before concluding the chapter, Culture, the single most dominating and overarching factor as identified by the interviewees and established by our ongoing discussion via the GT approach is treated more extensively in a dedicated section.

## **II - Anatomy of Factors**

The fact that there is no institutionalized shared governance in the Turkish HE system generally and specifically in Turkish Foundation Universities, called for the GT approach as the primary methodological tool in the absence of other applicable traditional sociological theories. Through this approach, it was argued in Chapter III, certain original themes emerge, when no prior theoretical straitjacket is superimposed on empirical material. This is especially useful given the absence of theoretical and practical insights from the literature; thus, the GT approach allows for building theory from the ground up enabling the emergence of new understandings from the seemingly intractable nature of current practices. These emergent themes crucially comprise culture, politics, founding principles, regulatory environment, management approach, maturity, lack of quality assurance, audit, trust and lack of models of governance and collaboration. As this diversity of factors indicates the explanation as to why shared governance does not emerge in Turkish Foundation Universities, it does not lend itself to easy formulation within the framework of any given theoretical perspective.

The GT approach enabled the present research to identify two major sets of factors preventing the establishment of shared governance in Turkish Foundation Universities, as discussed in Chapter IV on findings: institution-specific factors and ecosystem-wide factors. Institution specific factors include the management approach, lack of trust, founding principles, maturity whereas the ecosystem-wide

factors cover lack of quality assurance, audit, politics, regulations, and lack of models of governance and collaboration. This grouping of factors also serves to answer one of the sub questions raised in the Introduction, namely what the internal and external factors are preventing the establishment of Shared Governance in Turkish Foundation Universities.

When the complex and diverse interrelations of factors preventing the establishment of shared governance in Turkish Foundation Universities identified through the GT were examined, culture has emerged as the single most dominant factor. The impact of culture was seen to be visible on the system in general, the institutions individually, and all the actors subjectively. Furthermore, besides its comprehensive influence over factors at all levels, it was also seen to be significant through what the interviewees conceptualize as the level of institutionalization.

This complex multitude of interrelations of factors and sub-factors which emerged through the application of a GT approach are represented in Figure 12 and discussed later in this chapter.

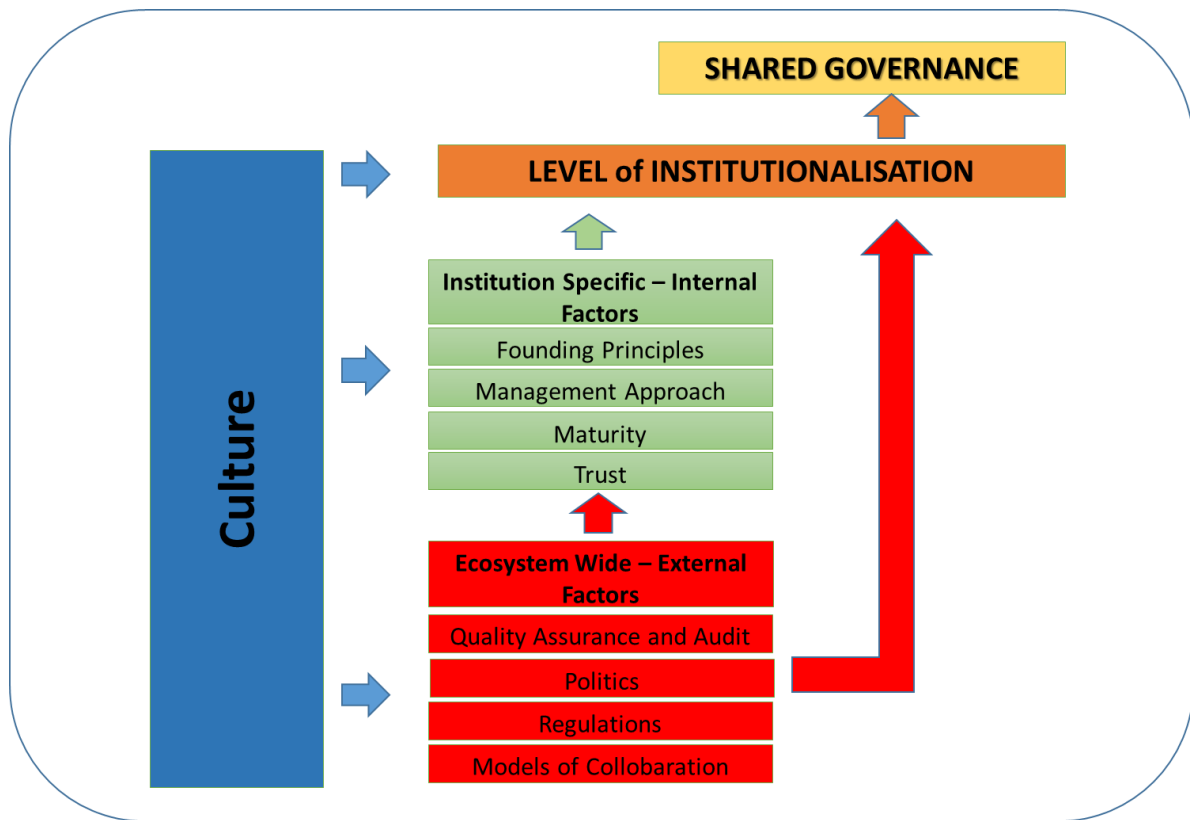


Figure 12 Categorization of findings and its relation with shared governance



### III - Level of Institutionalisation – *Kurumsallaşma*

Without a doubt the founding principles and the culture thereby created have significant impact on the level of institutionalisation of an institution. This desired level of institutionalisation, necessary for active stakeholder participation and shared governance, can more easily be developed in a culture with strong founding principles to which all stakeholders adhere. The closest English approximation to the Turkish concept of *kurumsallaşma* can be described by the characteristics of corporate governance as shared by Goedegebuure and Hayden (2007) who referred to the OECD's statement of Principles of Corporate Governance, which emphasize transparency, clear division of responsibilities, effective shareholder and stakeholder relations, and objective decision making.

As discussed by Dobbins, Knill and Palgrave (2014) the institutional isomorphism concept (DiMaggio and Powell, 1983) is becoming the reality of HEIs, as through internationalization and globalization HEIs have begun to look more alike. This represents an increasing level of modern governance practices implemented in Turkish HEIs. Winter (2009) discusses the increasing need of managers in the universities who are expected to implement new public management principles, such as further efficiency, entrepreneurialism, and strong management culture.

The interviewees in this study overwhelmingly complained about the low level of institutionalisation of the universities and related governing boards, which

make it almost impossible to encourage any type of participatory management, as interviewee number seven explains:

*At a micro level some schools or some programs may manage to have standards around institutionalization; however, when looked at from a macro angle all schools and the entire system have a long way to go (Interviewee number seven, academic, experience in foundation and state university management and in serving on the CoHE). tr. CB*

As has been seen, the complexity of the decision making processes and unclear separation of powers make the governance structure of Turkish Foundation Universities more vulnerable in times of crisis and more difficult to institutionalize. With the challenges of current regulations, designed to govern a few Foundation Universities serving in an elite based market, adding to the challenges of the decision making processes, stakeholders can feel lost and cannot align themselves easily within the university.

It is clear that the current decision making procedures implemented by the CoHE can no longer serve the needs of the institutions due to the general reasons discussed above and also their institution specific needs. In line with the meso-level perspective of the research, in order to overcome this challenge, it is crucial for each institution to have clear and comprehensive procedures in writing explaining which decisions are made by whom, or by which entities. This is an urgent necessity for all institutions, as current regulations by the CoHE provide only a very general and

incomplete framework and cannot address institution specific questions. This has been publicly acknowledged by current and former CoHE officials:

*During my initial days we worked on creating written policies and procedures, for example academic travel. Before these procedures no one knew anything about it and decisions were made behind closed doors with no objective standards. Now it is official, it is written and everyone knows about it, but we have much more to develop (Interviewee number nine, academic, experience in Foundation University management and in serving on the BoT). tr. CB*

With the lack of external QA mechanisms to guide institutionalized governing policies, the CoHE could play an important role and demand each institution develop its own internal policies. The current CoHE requirements do not provide a clear road map, nor direction; they leave it up to the institutions. As institutionalisation is not audited, most of these policies either do not exist or in some cases exist only on paper.

It needs to be remembered that implementation of these policies and procedures without exception is a key action item. If the leadership of the institution starts to make exceptions, then these written policies and procedures will not achieve the desired outcomes. When embedding the rules and regulations for governance, it needs to be kept in mind that those rules and regulations will be effective only if they become part of the institutional culture, thereby increasing the level of

institutionalization. This issue has been brought up by several interviewees, confirming that it is a common problem, as here one Board of Trustees' president shares:

*The challenge is when someone from government, or someone with a position and power calls you to ask for an exception. On one side you have rules and procedures which you have published and then suddenly a call comes and you are asked to bend that rule. I think it is the sign of our Middle Eastern culture (Interviewee number ten, experience in Foundation University management and in serving on the BoT). tr. CB*

In order to overcome challenges related to these internal and external pressures that create consistency and objectivity issues for the management, institutions can choose to publish all of their policies on their web site and declare their commitment to these policies. The challenges universities have faced in this area require a different set of approaches to management and different managers; however, as Bok (2003) explains, such management styles can create conflicting and challenging situations especially for the academic managers. When institutions also seek an independent external audit, to show that they comply with these policies (see section IX.b. below) then the pressures from these parties can be minimized. However, publishing these policies, and deciding to obey them in all governing bodies means that even the President of the BoT needs to comply, and unfortunately in so many cases according to the interviewees, it is the internal power holders who are approached and exceptions are then sought.

Nepotism and cronyism are critical cultural factors affecting institutionalisation as they are very common among Foundation Universities according to the informants. This includes academic staff hiring, where an open and competitive call is not a common way of hiring, despite CoHE regulations to encourage the practice. With the exception of very few universities most of the academic hiring is finalized before a position is announced and most of the administrative positions are filled without any proper job search and hiring process. As personal relations and loyalty play an overwhelming role in Turkish culture (Buğra, 1998; Licht et al, 2007; Hofstede et al., 2010; Esmer 2012a and Esmer, 2012b), even important decisions such as hiring can be done in a very subjective way. The regulations imposed by the CoHE to overcome irregular hiring practices have helped to address the issue, albeit from a limited base and have themselves created additional challenges. Institutionalisation is the only answer to overcome existing nepotism and cronyism both in hiring and other governing decisions.

Institutionalization levels affect all the factors discussed in this study, and all factors affect the levels of institutionalization. This reciprocal relationship is a fine example of how HEIs are internally and externally integrated and how concepts like shared governance need to be integrated across all these interconnections.

## IV – Institution Specific Factors

### *a - Founding Principles*

Establishing a university is a major decision affecting not only its founders or stakeholders, but actually society as a whole. When asked, each of the founders expressed different goals and capacities they held important for their institution. However, each also expressed the commitment to building an institution with the mission of forever serving the society in which it is located. Without a doubt these noble ideas are reflected in mission and vision statements, and are supposed to serve as a compass for each institution when the university sets sail.

It has been noticed through the interviews, desk research and personal observations that institutions are often forced to have hidden founding and operating principles when compared to those they must publicly announce. While founding principles may potentially contribute to the development of an environment conducive to effective mechanisms of shared governance as well as a higher level of institutionalisation, there are two major factors that prevent founding principles from playing this important role. These are the HE landscape and market imperatives.

While the country's HE landscape continues to change rapidly, unfortunately central governance and coordination have stayed the same or have made very minor progress in accommodating this evolution. Even though the Turkish HE market is now the second largest market after Russia in Europe

(Commission/EACEA/Eurydice, 2015), an education system based on serving the elite is still the greatest influence on the CoHE and Turkish HE law. This approach does not allow for differentiation and forces all institutions to be alike, requiring them to teach, to do research and to provide service to the community. While such an environment perpetuates the perception of HE operating for the public good, universities established with for-profit motivations start to expose gaps between their founding principles and those under which they operate, resulting in a lack of consolidation of founding principles which we deemed necessary for the establishment of effective shared governance.

One of the interviewees (number ten) addressed this important issue as follows:

*It is critical to have balance between mission and money. I don't believe that any of the universities established, despite what the public thinks of them, operate for mission only. The challenge is the balance. The CoHE needs to make changes and allow universities to be who they are, then control them according to their declared characteristics (Interviewee number ten, experience in Foundation University management and in serving on the BoT). tr. CB*

As the constitution of Turkey does not allow for-profit education, entrepreneurs are forced to bypass the system by setting up foundations to establish universities. When these foundations are reviewed, it can be seen that most have

been established just to fulfil the legal requirements to open a university and their founders have no experience at all in the realm of HE.

The growth in Turkish HE is significant when considered over the last ten years. The desire for a university education has increased so rapidly that in order to meet this mounting demand, many foundations have gone from zero to opening a university in extremely short periods of time. Increasing enrolment ratios in HE (participation rates) has been the priority for the Turkish government and the CoHE has shared this need for aggressive growth in several publications and reports. According to the performance report on the Management Information Systems of the CoHE (YÖK, 2014) it has been noted that net enrolment ratios in HE level have gone up from 14.7% to over 40% between 2003 and 2014 respectively. Due to this government policy (increasing participation rates) universities have been established without proper planning at both the governmental level and the institutional level. Unfortunately, many of these institutions copy their predecessors and their founding principles do not move beyond being nicely worded documents on their web sites. In most cases, these new universities first learned more about HE and its unique characteristics after each university started to accept students.

This perceived lack of founding principles--or the inconsistencies between what is written or planned and what is implemented--impact governance practices as well. Those very few examples where the founders sought to follow a process before launching the university - stakeholder meetings, market studies, examination of global universities with similar goals and operating conditions - currently have schools



with some of the basic but limited examples of shared governance in the country. The balance between the financial realities (or expectations) and academic priorities is critical and a decisive factor for universities as discussed by Weisbrod, Ballou, and Asch (2008) in their book “Mission and Money”.

In order to ensure each institution is managed with a sustainable approach to governance, its founding principles and the actual expectations of its founders must be in full alignment. In a Turkish context this means changes in regulations and allowing for different types of institutions to be included in the system. This is also a necessity to serve the needs of a changing society, with different types of degrees, programs, and means of delivering education. If change is to happen, it would require regulators to put in place proper mechanisms to assure differences in institutions do not create chaos, and they all serve to meet what is expected from HEIs. Such change will provide sincere, clear and objective roles to each stakeholder and thereby the potential for conflict will be significantly reduced as stakeholders will be in alignment.

#### *b - Maturity*

In 2016 the first Foundation University of Turkey, İhsan Doğramacı Bilkent University, will celebrate its 30th year since the enrolment of its first students. Only one year before this historical day, in 2015, 77 Foundation Universities accepted new students, as can be seen in Table 1. Upon further review it becomes evident that over 67% of these institutions have been established in the last ten years, proving the relative immaturity level of the Turkish private HE sector.

When the maturity levels of the Foundation University sector combine with other factors, it becomes clear that Foundation Universities experience different levels of challenges in governance related to maturity. For those which have been established with a mission and founding principles that are actually reflected in the way they operate, each year completed allows them to become more institutionalized and act as better stakeholder relationship managers.

On the other hand, it needs to be emphasized that, regardless of the maturity level, if the founding principles are not aligned with the actual expectations of those who manage the institutions, then there will always be challenges in governance, especially in stakeholder participation. Interviewee number twelve stressed the importance of initial principles:

*Some of these institutions started so wrong, it does not matter how much time passes, as long as they are managed by the same people or mentality they will be always in trouble (Interviewee number twelve, experience in Foundation University management and in serving on the BoT). tr. CB*

The maturity level of an institution has significant impact on what an institution can and cannot do, and that is why it is important for certain initiatives, especially growth and expansion projects, to be launched after certain milestones are passed. The regulators, in this case the CoHE (or professional bodies which grant licences in certain professional and vocational fields) must have clear objective

standards and allow new institutions to grow at a manageable pace. As an example, an institution should not be allowed to grant a graduate degree until the first undergraduate degree is granted, or the number of new programs that can be launched must be restricted, or certain disciplines such as medicine, education, engineering should only be allowed after the institution has reached a certain maturity. One of the interviewees who has been the Rector of a new Foundation University shared the following:

*My colleagues are quite upset with me, as I haven't allowed my university to apply for Masters degrees. We are new; we need to first make sure we do well in our Bachelor degrees then we can move beyond. On the other hand, when my staff see other universities who are launching even doctoral programs in just their second year they get mad at me (Interviewee number 16, academic, experience in foundation and state university management, in serving on the BoT and on the CoHE).*

In addition to certain parameters launched and monitored by the regulators on growth and expansion, regulators could also be more involved in the governance practices of these new institutions. Currently, a new institution and a thirty-year-old one are treated the same by the CoHE in many respects. However, this researcher recommends that regulators could have different levels of involvement with institutions according to the maturity level of each, potentially as follows:

CoHE appoints an independent member with higher education experience to the board for the first four years
CoHE requires first time board members and appointed academic management to attend professional development programs
CoHE implements different sets of audit rules and principles focusing on constructive feedback, particularly on governance issues.

*Table 9 Policy Recommendations to CoHE by the author*

One item that is closely related to all factors, but especially to the founding principles and maturity is the sustainability of the institution. Except for a very few, Foundation Universities rely solely on tuition revenue or on the founding foundation's donations to meet their operating expenses. Such financial dependency creates issues around autonomy and sustainability. In order to overcome these issues, institutions must create departments seeking philanthropic opportunities for donations to the university. As the number of alumni of Foundation Universities increases and these alumni progress professionally enough to give back to their schools, such departments could seek funds from individuals, as well as companies and corporations, through planned giving programs. There is much to learn from universities, especially those in the United States and United Kingdom, with respect to raising funds, as this is an area almost completely neglected in Turkey. While maturity and sustainability have a potential role to play in the establishment of shared governance, they do not guarantee institutionalization, unless this maturation period unfolds in alignment with the founding principles. In addition to the rapid massification of the HE system in Turkey as a recent phenomenon, it could be also argued that

such a process is not based on the sound founding principles supporting institutionalization and emergence of shared governance mechanisms.

#### *c - Management Approach*

The founding principles and the founding authority set the tone for the university, as does the management approach implemented. The type of management approach can be seen easily through the structure and role of the Board of Trustees. As one of the interviewees (interviewee number 21) stated, the way Board of Trustees decide to manage the university shapes the entire system:

*The weight of the Board of Trustees defines the roles of the others, they are dependent variables (Interviewee number 21, academic, experience in Foundation University management and in serving on BoT). tr. CB*

Boards of Trustees usually serve like their counterparts in other systems, where they are independent, meet multiple times over a year, make major decisions related to the strategic plan and direction of the university, delegate responsibilities to the appointed officers such as the Rector and evaluate the institution's performance. However, in most cases the Board of Trustees accepts a role similar to a Board of Directors and is involved in the daily operations of the university through their President and in some cases through very few members. All of the board members interviewed stated that many board members currently serving in Foundation

Universities are not actively involved in the governance of the university, which was also confirmed by the interviewees.

Again according to the interviewees the inactive status of the boards is mostly because of a lack of time to devote to serving on the board, also mentioned by Ehrenberg (2005) as a reason for inactive boards. Likewise, Hendrickson, et al., (2013) express the importance of active involvement of the trustees in order to have an effective board structure supporting the vision and mission of the university. When reviewing the profile of boards of trustees of Foundation Universities, most boards have no members with academic backgrounds at all other than the Rector, who is ex-officio. While it is not recommended - and also not legal under current regulations - to have a current faculty member serving on the board, due to the obvious conflict of interest, boards should consider having members with academic backgrounds from other institutions. The current regulations do allow faculty members from state or Foundation Universities to serve on a board of trustees, as they can be the additional and much needed academic voice in related matters, since so many board members do not have experience in the collegiate world. The CoHE could require the Board of Trustees to have a certain percentage of members with academic experience, to ensure such critical input is provided to the institution.

Since the methods for establishing boards of trustees explained earlier and their extensive roles in the governance of the universities with consolidated power are the reality for Turkish HE and will not change until fundamental issues are resolved - such as allowing private (for-profit or not-for-profit) universities by changing

the constitution - institutions must create a governance model that represents the actual dynamics of the institution. This means including the President of the Board and the related board members into decision-making through a structured way.

The HE law clearly identifies the roles of each governing board and how members are selected. However, these highly centralized and structured bodies, as shown above, do not fully serve the needs of the institution. In reality, a shared governance concept can help institutions overcome these challenges. Without appropriating the roles and responsibilities of governing boards, institutions can set up committees, meeting groups, additional processes and get those who are actually involved in decisions participating in a much more constructive and transparent way. Figure 13 visualizes a model precisely addressing these issues and concerns, such as has been used by some institutions, according to one or two interviewees.

It has been repeatedly mentioned that both Presidents of the Board of Trustees and Rectors tend to be micro managers and prefer not to delegate. Since the regulations and culture also foster such behaviour, implementing shared governance practices can become nearly impossible, as indicated by interviewee number nine, who served as a Rector of a Foundation University:

*The perception and feeling that everything should be decided by the Rector is a major problem. No matter how hard I try to delegate and ask them to make decisions the tendency*

*is to ask the Rector for everything (Interviewee number nine, academic, experience in Foundation University management and in serving on BoT). tr. CB*

An effective governance system should allow decisions to be made at the lowest level possible by delegation and empowerment. When trust is built up between top management and the rest of the university then the tendency towards micro management would be minimized. As discussed by Galford and Drapeau (2003) the trust in the organization breaks down because of inconsistent messages and standards, misplaced benevolence, false feedback, failure to trust others and lack of open and transparent communication channels. This trust, discussed above, can be achieved through cultural changes in the university, implementing objective and transparent governing principles with modern collaborative management practices: including effective and active stakeholder participation, ensuring open channels of communication, and finally outlining clear decision making procedures – all of which have been considered by Bargh, Scott, Smith and L.L. (1996), Deem and Brehony (2005), Agasisti and Catalano, (2006), Ward (2007), Winter (2009), and Nadler, Miller, and Modica (2010).

As widely discussed across this study the current governance structure imposed by HE law in Turkey is very limiting and does not reflect the reality of the unique dynamics of Foundation Universities and the changing HE market. Each institution has created its own style of management; in some cases this is centralized with the Rector, in most cases it is based with the President of the Board of Trustees



and in a few cases it is distributed through committees. Communication is essential to shared governance: the more effective and multi-directional the communication among the stakeholders, the more effective the management will be. Institutions must not only rely on the governing bodies as mandated by the legal structure--the Board of Trustees, Senate and Executive Board--but also must develop other channels and platforms to create the interaction and participation crucial to shared governance.

Here I propose the following model that seeks to bring the voices of external and internal stakeholders to the governing boards through various platforms. Depending on the mission and size of the institution, it might choose to establish standing committees or ad hoc committees, committees with external and internal members, and committees with advisory or more executive responsibilities. The proposed model is designed to overcome the challenges created by the regulations over structured decision making processes and the need to bring key decision makers together, in order to be aligned and take decisions in a collaborative way (top half). The committee structure helps the institution to listen to its stakeholders, involving them in decision making and implementing a participatory governance model (bottom half).

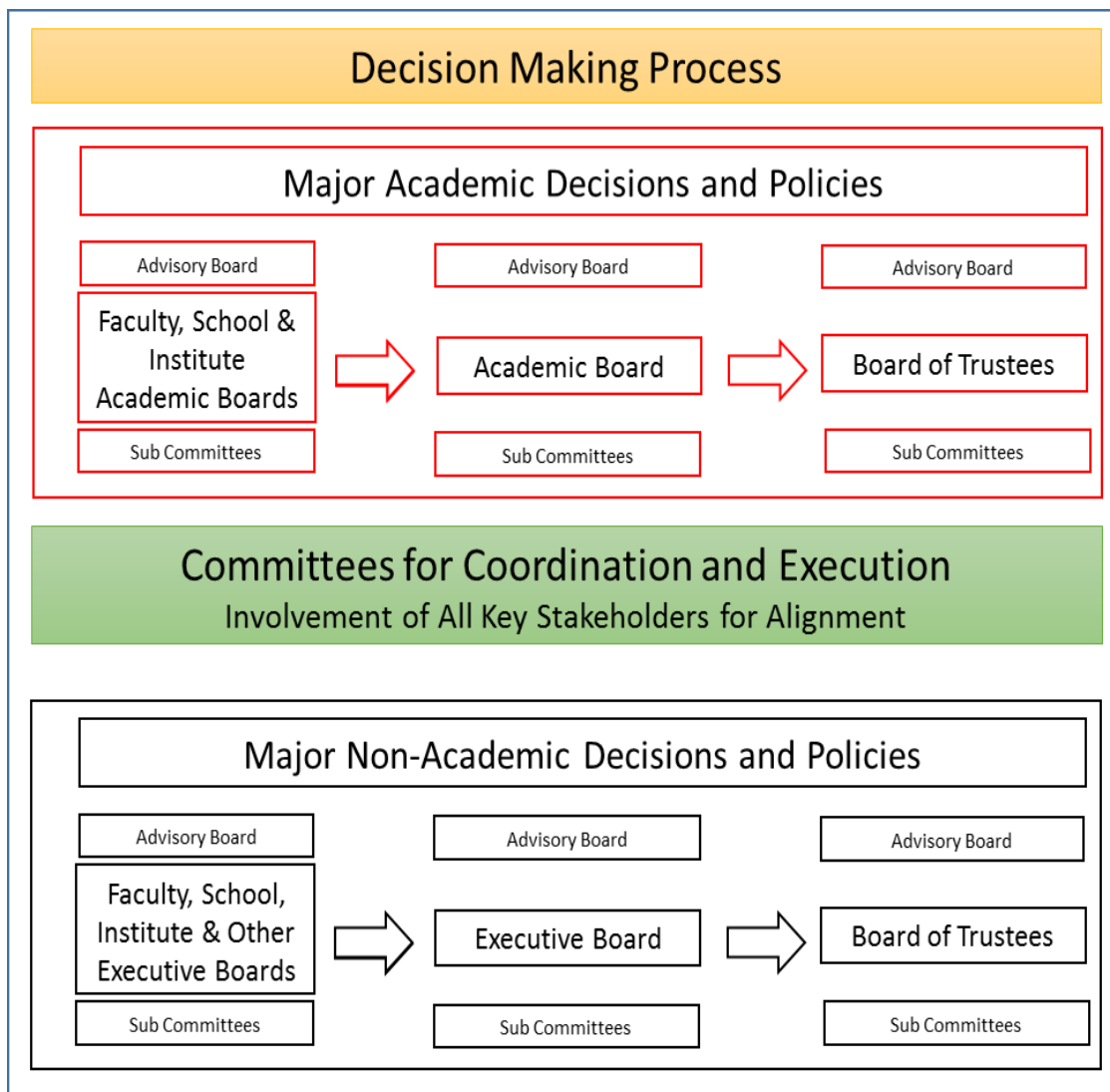


Figure 13 Proposed management model for Foundation Universities

However, as Bowen and Tobin stated (2015), the institution needs to create the right system, choosing the right people for the right committees in order to avoid creating a system which produces yet more challenges than solutions. Such a model also allows institutions to comply with regulations and reflect their management approach more effectively, although each institution should also work to adapt this model to its individual institutional circumstances. One important factor of

this model is that the Board, its President and the Rector need to accept and involve others in decisions, to be open to criticism and to be willing to make changes to decisions where needed. Just as in any other entity, communication plays an important role. In order for this, or a similar model to work, there must be clear and complete communication among all stakeholders. This communication should neither be unilateral, nor exclusive. In order to make it inclusive and multilateral, as much information as possible on the work of committees should be shared with the university community and related stakeholders. Universities must have proper channels for stakeholders to reach and communicate with the management and share their thoughts on issues. Transparency and communication will help the institution to build trust and culture: both central to shared governance.

#### *d – Lack of Trust toward Management*

The lack of trust that has been revealed between stakeholders, especially between top management and academic staff, is an important roadblock towards establishment of shared governance practices in Turkish Foundation Universities. As intimated by several interviewees, in the absence of trust, academics and other stakeholders choose not to stay, or if they stay, then they choose not to participate in the governance of the institution. This feeling of ownership is extremely critical for academics, as, if they only focus on their teaching and isolate themselves from the institution, then the institutional decisions will be made without the input of this critical group, which may create further challenges. Universities can be managed and can survive through severe crises or a lack of procedures and processes, but if the trust of and communication with the leadership is damaged or missing, then the chances

for the organization to fail are very high (Kezar, 2004). As both interviewees number eight and 16 shared below, the upper management carries the burden of building up the trust in the organization:

*Actions of the upper management cause academics to feel like they are temporary*

*(Interviewee number 16, academic, experience in foundation and state university*

*management, in serving on the Board of Trustees and on the CoHE). tr. CB*

*Quality participation increases the quality; they must trust the management. (Interviewee*

*number eight, academic experience in foundation and state university and in serving on the*

*CoHE). tr. CB*

Building a trustworthy institution is not easy, but it should be the goal for all: from students to their families, alumni to the employers hiring them, all stakeholders must trust the institution. Yet, most importantly, its employees must have trust. Institutions must monitor the trust level of their employees regularly and must have an action plan in order to improve it. The regular and structured communication of stakeholders with upper management increases the trust in leadership as Bleiklie, Ringkjop and Ostergren have indicated (Stensaker & Vabø, 2013, p. 261).

Certain corporate practices can be implemented into Foundation Universities and the level of trust can be measured and monitored. Interviewees

have shared that in their experience only some of these tools are used by only a few institutions and rarely comprehensively: employee attitude surveys, town hall meetings, employee turnaround ratios, and exit interviews. The Human Resources departments at Foundation Universities are seen as process centres, like providing payroll and related services, as has been the case in the state universities, instead of supporting academic management by offering value added services like performance, recruitment, and talent management. Additionally, these departments could take on more responsibilities, including being key supporting agents in institutional culture development and management facilitating the emergence and consolidation of shared governance practices.

## **V – Ecosystem-Wide Factors**

### *a - Lack of Models of Governance and Collaboration*

As centuries old institutions universities are prime examples of organizations which have survived turmoil and successfully found the right balance between adaptation and adoption (Beerkens 2010). While certain elements of being a learning organization have helped institutions to survive in the past, Bak (2012) in her study discusses the importance of having a shared vision and goal and the need for alignment between senior management and academics as important elements of a learning organization. In addition to the internal alignment, which leads to effective shared governance and to being a learning organization, universities both collaborate with and compete against each other; local and global platforms allow them to learn from each other and learn together. The radical changes in university collaboration made possible in the Internet era and through general increased mobility have created opportunities for best practices to be shared and models to be developed. As many of the interviewees confirmed, and also complained about, there is still nothing called a Turkish Foundation Universities governance model and there are currently no structured platforms available where ideas are shared, no associations of note, no conferences or publications.

The CoHE wears multiple hats, as discussed earlier, including, but not limited to coordinating HE and its institutions: regulating, auditing, and delivering QA. As expected, an organization with such a wide array of responsibilities, in such a fast

growing market, and with very limited resources, can only focus on some of these areas and with a very limited scope. As the regulations hat of the CoHE and its political identity are severely restricting, communication among the universities becomes limited. Many say the CoHE funnels everything to itself. This creates a challenge to Foundation Universities who are introduced to only one model of governance and one management approach, as, regardless of their mission, program portfolios, sizes, growth plans, geographic locations-- the CoHE does not differentiate among them. Interviewee number seven with his experience both in management of foundation and state universities, plus in the CoHE, shared the following:

*Regardless of the topic, it is almost impossible to see universities getting together, to share ideas and best practices, to learn from each other. It is only the CoHE telling us what needs to be done (Interviewee number seven, academic, experience in foundation and state university management and in serving on the CoHE). tr. CB*

As the interviewees mentioned, the CoHE prefers and requires vertical communication, which eliminates all possibility for horizontal interaction and collaboration among the schools. When the CoHE wants to hold a meeting on any issue, despite the characteristics of these widely disparate institutions, all schools are invited and these meetings are highly unproductive and dominated by one-way communication. Interviewee number 15 as a President of a BoT stated the following:

*Let me give you an example, in a couple of days there will be a meeting at the CoHE. They invited all the Rectors, foundation and state, a total of 180 plus, to discuss the issues of Turkish higher education with the new CoHE President. How can you speak with such a group, that many people, from such different universities? It is almost like they are making fun of us (Interviewee number 15, experience in Foundation University management and in serving on the BoT). tr. CB*

Thus in order to increase collaboration and improve outcomes, universities need to be brought together: either when they have the same challenges and characteristics, or to discuss a specific issue. For example, Foundation Universities which have been established in the last five years will have many more similar challenges and topics to discuss than those established 15 years ago. Similarly, it is to be expected, institutions with an enrolment size under 5,000 and those with over 5,000 students will have differences as well. If the collaboration opportunities are created among similar institutions, then the outcomes will be much more effective.

In addition to the policy recommendation made above regarding collaboration, similar approaches should also be expanded upon to cater to specific groups, such as Admissions Departments, Information Technology, Career Services, and Finance. These types of organizations are much more organized in larger developed countries, for example the National Association of Colleges and University Business Officers (NACUBA) or the American Association of Collegiate Registrars



and Admissions Officers (AACRO) in the United States. While both of these groups accept international members, similar entities could be established to address the specific needs of institutions operating in Turkey through CoHE encouragement and facilitation. It needs to be acknowledged that the establishment and operation of academic groups are much more advanced when compared to non-academic, but not all academic disciplines have as yet working platforms where ideas are shared and collaboration is nourished.

Function-based, discipline-based or institutional-based platforms, networks and associations or even conferences, workshops and training programs — all could provide a significant opportunity for institutions to influence and be influenced by each other, so that working toward more viable models could be collaborative. CoHE's current policy that creates barriers between institutions, forcing them to communicate only through the CoHE, is the outcome of attempts to create a system with many different universities, which ends up being regulated only at a minimum level of quality standards.

In the absence of independent QA organizations and given the current motivations of the CoHE, the Association of Foundation Universities might now have an important opportunity to fill this well-known gap. However, as the interviewees have explained and discussed in the Findings chapter above, due to various reasons meriting still further investigation, the association is not very active. The number of members is around 20 (Vakıf Üniversiteleri Birliği, 2012) and when the membership profile is reviewed, it becomes obvious it does not reflect the current Foundation

Universities, particularly those more mature schools with larger student populations. Again, according to their website, an annual conference has been organized in the last two years and the Presidents of both the CoHE and the Minister of Education (in 2015) attended this event (Vakıf Üniversiteleri Birliği, 2014). Whereas these conferences were designed more as a series of presentations by various Turkish HE leaders on a wide array of topics, they definitely did provide a positive opportunity and platform for interaction. It was always less likely they would provide structural and constructive opinions to the universities, however. On the other hand, if the factors affecting the membership to this network are identified and resolved, with large number of members representing the entire system, this conference could become a sector-wide venue providing a much-needed exchange opportunity. As can be seen in developed countries, such types of organizations also influence lawmakers in turn and provide positive lobbying towards the development of HE.

In sum, as one of the most important results of this study, it is safe to argue that there is as yet still little evidence for a shared understanding of what governance is in the Turkish case, and how it could be best operationalized through institutional models and roles. In the relative absence of platforms where different ideas, practices and models are discussed, it thus remains extremely difficult to learn by experience and develop ideas on a sector-wide shared basis.

#### *b - Regulations*

The Higher Education Act number 2547 enacted in 1981 regulates all institutions of HE in Turkey. Despite several changes and amendments to this law it

no longer serves the needs of the changing HE landscape and the increasing number of universities well. When Bilkent University, the first Foundation University was established in 1984 and accepted students in 1986, instead of creating a new law for Foundation Universities, the CoHE chose to amend some articles to the existing law and regulate through procedures and bylaws. Including the members of the CoHE, all political parties and all those involved in HE in various capacities accept the need for reform. While multiple attempts to change the law were proposed by political parties and the CoHE this goal has yet to be achieved. The institutions do not have enough space and autonomy as described by one interviewee:

*Higher education law and the CoHE are choking the institutions; they just want to make sure all schools look alike and no one does something different (Interviewee number 13, experience in state university management and in serving on the CoHE). tr. CB*

The following table summarizing proposed changes to existing regulations have been discussed by several groups and parties, and are grouped as they are directly related to the governance of universities:

<b>Diversification of HEIs</b>	Allowing different types of higher education institutions to operate including for-profit and international (before the change in the legislation, the related article of the constitution needs to be changed as for-profit higher education is prohibited by the constitution), which aligns the actual practices of the universities' management and their founding principles.
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<b>Transforming CoHE</b>	<p>Transforming CoHE from a regulator position to a coordinator position, making necessary changes to provide more autonomy to the universities, especially in academic and governance matters.</p> <p>As has been discussed among regulators and policy makers for many years, the proposed changes should create a new CoHE that promotes shared governance at the top and be an example for the rest. One-size-fits-all governance structure cannot work for every institution, so the regulation should give more independence and flexibility to the institutions, in order to facilitate their own governance design; however, the CoHE and regulation must encourage shared governance.</p>
<b>Quality Assurance</b>	<p>Establishing independent Quality Assurance agencies and requiring all institutions to have accreditation before accepting any students. These agencies will not only secure the academic quality but also those proper governance structures needed to achieve the anticipated quality outcomes.</p>
<b>Representation</b>	<p>Ensuring CoHE governing bodies have members representing all types of institutions, in order to have the accurate stakeholder representation.</p>
<b>Independent Audit</b>	<p>Requiring Financial and Administrative audits be done by independent private audit firms, which assures objectivity, transparency and professionalism.</p>
<b>Autonomy</b>	<p>Allowing institutions to have full autonomy in all areas, including, but not limited to student admissions, academic promotions, and new program launches, with an objective and complete audit by CoHE. However, it needs to be kept in mind that as Hénard and Mitterle (2010) stated autonomy and accountability go hand to hand.</p>

<p><b>Student Participation in Governance</b></p>	<p>Students without a doubt are the most important stakeholders and need to be involved in almost every decision. Student participation on governing boards must be encouraged and if necessary imposed by the CoHE, as this issue has been criticized in the Institutional Evaluation Program reports (IEP, 2015). The participation of students in governance is critical and an important sign of a healthy governance system (Bergan, 2003), and without them shared governance cannot be completed. Kuruüzüm, Asilkan, and Cizel's study (2005) found that student participation in governance is extremely low and ineffective.</p>
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*Table 10* Proposed changes to Turkish Higher Education Law and regulations, Batirel, O. F., Durman, M., Ergüder, U., Eriş, A., Esme, I., Öztürk, R., Uğur, A. (2014), Ergüder, U., Şahin, M., Terzioğlu, T., Vardar, O. (2009)

The regulators are important stakeholders despite being deemed by an interviewee as “players” rather than stakeholders and identified as an important factor hindering the establishment of better shared governance in Turkish Foundation Universities. However, as Alves, Mainardes, and Raposo (2010) included in their study, the regulators are decidedly a definitive stakeholder through their characteristics of power, legitimacy and urgency. The case of Turkish HE system proves that regulation formation is an overall top-down process, which generally excludes different stakeholders that would be influenced from the results of respective codes. For the realization of institutional culture and practices, as well as the internalization of the norms and values by the actors, a regulatory framework needs to be discussed by those actors resulting from a sound dialogue supporting ideals of shared governance.

### *c - Politics*

In a developing country like Turkey, where democracy is still not as mature as in Western systems, politics plays an important role, especially in public administration. As tertiary, HE has been seen as a public good, like secondary K-12, politicians have much more control and influence over individual institutions and the system as a whole. The CoHE, as the highest governing body of HE, has 21 members and all of these members are either appointed or confirmed by the Prime Minister and President of the country. One can see the influence of the political forces on state universities clearly, and including the appointment of their Rectors they have many governing items subject to the government's or the CoHE's approval.

While politicians may not have that much direct involvement with Foundation Universities - as they do have more autonomy when compared to the state universities - many critical decisions are still subject to the CoHE's approval due to the existing regulations. For example, new enrolment quotas, or the approval of new programs must be approved by the CoHE - in some cases even by the Minister's Cabinet. Finally, given that almost all of the founders of the universities have other businesses - and that in many cases these businesses have close ties or connections with the universities they founded - they become even more vulnerable to political pressure.

There is little universities can do since this issue needs to be resolved at a macro level and the more democratic the country becomes, the less political influence and pressure will impact HE. However, in the short run, universities can

create a defence line by creating written policies and procedures. When the institutions are committed to publicly available processes, they will be more open to being challenged, in some cases even legally challenged, should they deviate from these. In the context of the Turkish HE system under study here nepotism and clientelism, as well as other forms of political pressures, abound; unlike western systems, these well-defined and codified policies and procedures would be even more crucial.

#### *d – Lack of Quality Assurance and Audit*

Quality in HE is such a broad concept and has so many constituent parts influencing and affecting each other. In these Quality Assurance (QA) decisions, the academic component has tended to be the centre of attention, where the focus is on outcomes and academic quality. However, QA rightly begins with governance; unless a proper governing system is in place, no measures can bring the quality outcomes desired. Stakeholders receive value for their participation through the quality systems, see Bolton and Nie (2010).

The absence of independent QA agencies in Turkey causes institutions to miss an important opportunity to have guidelines and enforcement to adopt an effective governance system. As shared by the interviewees and as personal observations can confirm, the CoHE's quality assurance policies currently focus solely on academic outcomes and do not yet address governance. On the other hand, Naidoo (2012) states that the external QA initiatives are seen as giving more

status to higher quality management systems, instead of aiming to improve academic matters.

Until such structures are established, Foundation Universities can either seek voluntary accreditations by international agencies, as some of them have started to do, or those who wish to take it slower can apply for membership off international organizations requiring certain governance principles. The EUA is one such leading organization in Europe, bringing universities together and allowing them to learn from each other, including in the areas of governance. Another important document to which over 750 universities from 80 plus countries have signed up is the Magna Charta of European Universities. This document was signed on September 18<sup>th</sup>, 1988, the 900th anniversary of the University of Bologna and includes the *“principles of academic freedom and institutional autonomy as a guideline for good governance and self-understanding of universities in the future”* (The Magna Charta Universitatum, 2015). According to their web site as of today 776 HE institutions from 81 countries signed this document. While it may not provide answers to all practical things the universities need to do, it may provide them with a general philosophy and understanding of what constitutes a well-governed university. By signing this document institutions commit to these principles and are required to make all internal changes to follow them.

Another available voluntary process is the European Foundation for Quality Management (EFQM) Excellence Model (EFQM, 2015) which is offered through the Turkish Quality Association and provides a wide array of services to



institutional subscribers, including assessment and feedback, training programs, as well as ratings which can be internal and external motivation tools. The EFQM Excellence Model is a good step towards the institutionalization of an organization, as it requires clear decision making processes, widely communicated procedures, transparency, continuous improvement and more importantly, active stakeholder participation.

While these memberships, endorsements or certifications provide some level of support in overcoming the factors preventing the establishment of shared governance practices in Turkish Foundation Universities, actual large-scale reform will only really happen through the accreditation agencies as they will have enforcement power. During the accreditation process, the institutional accreditation agencies require proof of effective stakeholder participation and shared governance implementation from their institutions. According to the American Association of University Professors' (AAUP) website (2015) each one of the seven regional accreditation agencies includes shared governance principles among their standards:

<b>Middle States Association of Colleges and Schools, Middle States Commission on Higher Education</b>
The Commission on Higher Education expects a climate of shared collegial governance in which all constituencies (such as faculty, administration, staff, students, and governing board members, as determined by each institution) involved in carrying out the institution's mission and goals participate in the governance function in a manner appropriate to that institution (AAUP, 2015).

<b>New England Association of Schools and Colleges, Commission on Institutions of Higher Education</b>
The institution's system of governance involves the participation of all appropriate constituencies and includes regular communication among them (AAUP, 2015).
<b>North Central Association of Colleges and Schools, the Higher Learning Commission</b>
The organization's governance and administrative structures promote effective leadership and support collaborative processes that enable the organization to fulfil its mission (AAUP, 2015).
<b>Northwest Commission on Colleges and Universities</b>
The system of governance makes provision for the consideration of faculty, student, and staff views and judgments in those matters in which these constituencies have a direct and reasonable interest (AAUP, 2015).
<b>Southern Association of Colleges and Schools Commission on Colleges (SACS)</b>
Accreditation expects an institution to develop a balanced governing structure designed to promote institutional integrity, autonomy, and flexibility of operation (SACS, 2011).
<b>Western Association of Schools and Colleges, Accrediting Commission for Senior Colleges and Universities</b>
The institution's faculty exercises effective academic leadership and acts consistently to ensure both academic quality and the appropriate maintenance of the institution's educational purposes and character (AAUP, 2015).

*Table 11* Shared governance statements by US regional accreditation agencies (AAUP, 2015; SACS, 2011)

While the QA initiatives are taken individually by Foundation Universities on a voluntary basis, CoHE's annual audits are compulsory and universal. As shared by the interviewees, however, the current audit process for Foundation Universities is minimal and ineffective. Every year the CoHE sends an audit team in to Foundation Universities and the team spends three to four days on campus. The scope of their

audit is largely financial and administrative matters; any coverage of governance, academia, and students is superficial. Through this limited scope of audit, Foundation Universities do not receive enough constructive feedback and the audit does not sufficiently serve the purpose of improving quality. The CoHE audit cannot serve the needs of an institution in a developing market and institutions wishing to improve the quality of all aspects of the university, including governance, must seek additional audits.

The current regulations allow institutions the freedom to conduct any type of audit as long as the institution's governing bodies approve. There are several companies providing audit services from which universities can derive benefit, especially in the areas of business (financial), services (student, customer) and governance (decision making). The results of these audits should be shared with all stakeholders (depending on the nature of the information some stakeholders may need to be excluded) and must follow up with a development plan.

Academic related audit is a complicated issue and there are not so many professional organizations providing these services. Institutions can either hire experts from the field or ask them to conduct assessment on their programs, which is very common in other markets. However, due to the limited number of experts in the field of academic assessment of a university or program in Turkey, these assessments are either of very limited scope or, are done by outside, international experts and thus suffer from a lack of understanding of internal cultural challenges. It is believed that as the market continues to grow, the ecosystem of higher education

will grow as well and auditing companies, consulting companies, human resources companies, information technology companies, and various others specialized in HE will evolve. There are already some signs of these in Turkey as of now, but most of these establishments offer services of minimal scope, or they are a small division of an organization which does many other things, without too strong a focus on HE.

The above mentioned “full comprehensive academic related items included assessment” can be done by accreditation agencies, especially those which conduct institutional accreditation. As discussed in Chapter IV, volunteer initiatives like Institutional Evaluation Program conducted by the EUA help institutions to receive assessment in limited but very effective scope in areas including teaching and learning, research, service to society, quality management, internationalization and more importantly governance and decision making.

Institutions should not seek these audits, assessments and evaluations for simple box-checking purposes or for use in marketing efforts, but rather with the desire for important feedback towards improving their operations. This is why a strategy which incorporates development and improvement plans is critical. In order to have an institution-wide response to these, leadership must keep the communication channels clear and share all these types of information with their stakeholders. External and independent audit processes may complement the above mentioned QA practices unless they are seen as a burden by the leaders of Turkish Foundation Universities.

In brief, quality assurance and audit may serve as external anchors for creating mechanisms of institutionalization and shared governance in the absence of applicable models in Turkish Foundation Universities. Additionally, they may also play a crucial role in initiating a platform for a discussion of multiple models regarding best collaborative governance practices and overcome the factors preventing the establishment of Shared Governance in Turkish Foundation Universities.

## VI - Culture

As was seen in the responses of the interviewees - and as personal observations support – “culture” plays an important role in the governance of Foundation Universities. Before going any further, then, we should make at least a tentative attempt at defining “culture”. In the contemporary world, culture means a network of social, economic and political connections in a historical continuum. This continuity is usually obtained through mores, traditions, practices and even rituals sustained in a multi-generational structure. Samovar and Porter (2003, p. 8) provide us with the basic sense of this definition:

*Culture: “The deposit of knowledge, experience, beliefs, values, attitudes, meanings, hierarchies, religion, notions of time, roles, spatial relations, concepts of the universe, and material objects and possessions acquired by a group of people in the course of generations through individual and group striving”*

Interviewee number ten, who has been the President of a Board of Trustees for a Foundation University stated the following:

*Turkish employees being dependent, acting in groups, not being initiators, not willing to criticize or challenge authority and acting in a group psychology (Interviewee number ten, experience in Foundation University management and in serving on the BoT). tr. CB*

Hofstede's seminal 2001 study on "how values in the workplace are influenced by culture" (2001) draws on evidence from over 70 countries. He developed a model of six dimensions of national culture which provides very valuable comparisons. Of Hofstede's six dimensions, Power Distance, Individualism and Masculinity perhaps best facilitate the explanation of the role of culture on shared governance in Turkey developed further below:

**Power Distance:** The score of Turkey is 66 out of 100 in this dimension. The finding is explained by Hofstede as Turks respecting the hierarchical structures which makes those above the system not accessible. Turks are dependent and they are expected to be told what to do; also they consider their bosses like a father although there is no direct communication. As the power and decision making is centralized, employees rely significantly on their supervisors and the rules (Hofstede, Hofstede, & Minkov, 2010).

**Individualism:** In this dimension the score of Turkey is 37 out of 100, which means that Turks seek loyalty by looking after each other in groups to which they belong. The harmony and alignment of the group is very important, that is why any conflict and open discussion are avoided. As for communication, the feedback is very indirect and nepotism is common (Hofstede et al., 2010).

**Masculinity:** Scoring 45 out of 100 places Turkey is on the 'Feminine' side. Such a score in this dimension means that Turks like consensus. Open

conflicts in the workplace need to be avoided as much as possible and achieving a consensus is critical (Hofstede et al., 2010).

When reviewed carefully the explanations of the three dimensions above help support several comments made by the interviewees, such as the importance of hierarchy, indirect and limited communication, the role of the manager (boss), acting as a group, and avoiding criticism affecting shared governance. When the results of the same study for Turkey are compared with the results from the United States and United Kingdom, where shared governance plays a critical role in HE systems, there is a significant difference in the results towards a reverse direction:

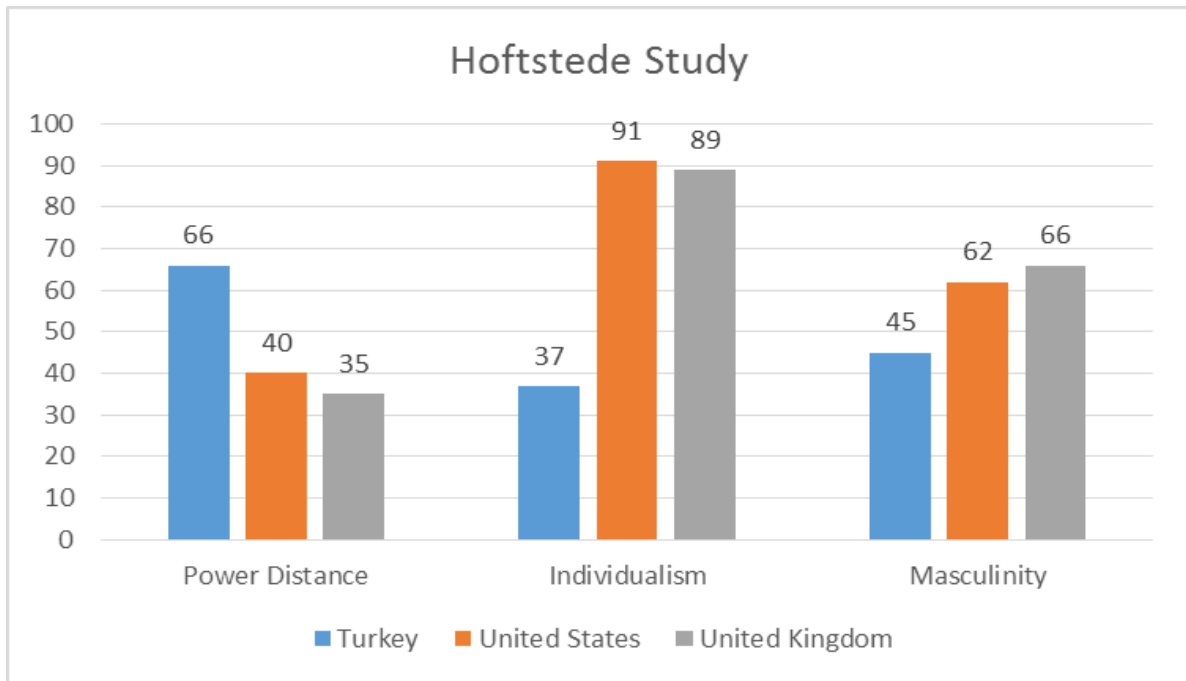


Figure 14 Three dimension comparison: Turkey, US and UK (Hofstede et al., 2010)



Licht, Goldschmied, and Schwartz (2007) discussed in their study the relationship between national culture and social institutions and through Schwartz cultural orientation scores show the difference between several countries. The 'embeddedness' and 'hierarchy' dimensions are much higher in Turkey compared to the United States and the United Kingdom, which means Turks are more traditionalist, more prone to avoiding conflicts and much more respectful for hierarchy. In the same study Licht, Goldschmied, and Schwartz (2007) stated that their findings show that *"the cultural dimension of autonomy versus embeddedness affects governance most significantly"* (p. 682). On the other hand, it needs to be added, as shared by Berkman and Özen (2008) that as Turkey has become more and more internationalized, the managerial culture has been changing and becoming less collectivistic and more risk-taking.

Through these studies conducted on the cultural dimensions of Turkish people, it becomes clear that concepts like shared governance - which require certain features of conflict - compare more favourably to the western systems. However, it should not be forgotten that institutions of HE and their members tend to be ahead in terms of being more liberal, innovative, critical and open compared to the accepted cultural values of the societies in which they exist. Again, according to the interviewees' comments and personal observations institutional culture plays an essential role and it can create the right environment for shared governance to flourish.

*If a university developed a culture where different ideas and thoughts on any topic, but especially related to management can be discussed without a hesitation, then that university can enjoy an effective and collaborative governance. (Interviewee number seventeen, academic, experience in Foundation University management). tr. CB*

Despite the availability of national cultural data for Turkey, what is of more interest for the purposes of this research is not the macro-level of nation but the meso-level of institutions as I clarified in Chapter III. The institutional culture will be affected by all the factors discussed in this study and it will affect them in turn. A culture which is aligned with the institution's founding principles will create an environment where stakeholders feel encouraged and appreciated for their participation and will result in a relationship among these stakeholders based on trust. When implementing shared governance or making any major, campus-wide decision, it is important for the decision makers to understand the institutional culture which will help the leadership of the university accomplish organized change without resulting in unnecessary and unwanted conflict (Tierney, 1988).

While some of the cultural references discussed above may seem like obstacles towards establishment of shared governance and stakeholder participation, if the leadership of the institution create open and active communication channels and encourage participation, with a welcoming attitude towards criticism, then the institutional culture will surely overcome any of the shortfalls of the national culture.

As discussed in Chapter IV, Turkish HE culture, which is dominated by state university culture, strongly influences Foundation Universities' institutional culture. There are two direct and important reasons for this high degree of crossover. The first is the current regulatory environment in which Foundation Universities operate. This environment is designed for state universities, but Foundation Universities and their academic staff are subject to these regulations, too, with very minor changes. The second major reason is that almost all of the founding academic staff of Foundation Universities have been recruited from state universities. Tellingly, the desk research findings show that almost 90% of Rectors of Foundation Universities have experience working in state universities.

That the majority of founding academic staff of Foundation Universities are recruited from state universities has left a very strong mark on the governance and general working of Foundation Universities. This is largely due to the fact that these academics brought with them elements of the culture dominant in state universities. The most significant element they transferred from state universities was a 'solidarity' perspective that is very much in contradiction with the competitive perspective of non-academic managers who represent business values associated with a corporate culture. Furthermore, Foundation Universities have also recruited a large cohort of their academic staff from state universities, who also contributed to the complication of matters in the day-to-day functioning of Foundation Universities by transmitting this collegial culture to the subsequent generation of academics. This dichotomy of solidarity and competition as contradictory principles of governance makes shared governance a formidable task in Foundation Universities. While the

tilting of balance toward solidarity generates stagnation in the context of market pressures and a changing world, extreme competition causes dissolution and lack of trust, as well as a loss of a sense of belonging to the institution. As discussed in chapter II Fish (2007), Berndt (2009a, 2009b), Olson (2009), Crellin (2010), and Taylor (2013), all call for a balanced relationship between collegial and competitive elements which are associated with collegial and corporate approaches.

The balance between the two, however, is not very easily managed. While the older generation who socialised in state universities make it extremely difficult to adopt, let alone internalize practices associated with competition and market, managers find it ineffective and even irrational to cling to ideals and norms of solidarity. It is safe to argue that such problem of the balance between collegial and competitive elements is universal and seen in different geographies, just like the difficulties on the balance between the financial realities (or expectations) and academic priorities. On the other hand, it could be stated that the rapid and late growth and internationalization of the HE system in Turkey and its peculiar form of integration to the world system (namely high level of political control and insufficiency of rules regulating competition) make such an internalization process quite troubled. Thus, emerging problems of governance could be easily associated with the adaptation and internalization process to the global dynamics, as well as generational gaps in the conduct of principles and internalization of the processes. To recap, the aforementioned concept of institutional isomorphism still operates; however, there are remarkable peculiarities in the internalization and adaptation of the international

standards and dynamics, which is also related with the larger political economic transformation of Turkey after the 1980s.

In order to ameliorate this contradictory situation both in the shorter and longer term, the researcher suggests that Foundation Universities should tap into the complex skill-set of a newly emerging generation of younger academics, who are both aware of what the conventional ideals of university are and also capable of dealing with the competitive pressures of the market. These academics mostly have doctorate degrees from American or British universities and had the opportunity to observe alternative forms of fusion of collegial and competitive values in universities. They might act as nodes in creating a culture as a network of norms, mores, and values, or, as we have already indicated with reference to Williams, “the institutions and practices of meanings and values.” (Williams, 1977, p. 15). This type of investment in human capital can also be extended to non-academic managers who have academic credentials as well as an interest in the universal ideas of academic life besides their managerial and corporate skills. Such a strategy would also attract professionals from the corporate world with academic credentials, thereby expanding the skill pool of the staff.

Considering that the Foundation Universities are both relatively younger and smaller in size, implementation would not constitute significant challenges, as long as the governing bodies - and more importantly the founders - are not resistant. Additionally, as discussed in chapters II and III, the lack of an institutionalized pattern

of governance in Turkish Foundation Universities may indeed be turned to an advantage as they will be more porous to agential intervention.

Investing in human capital in the ways described above may facilitate the creation of an institution specific culture that is conducive to a cooperative and collaborative environment, while at the same time appreciating more professional values of efficiency and competitiveness. This is not a generic recipe for creating a Foundation University culture since each Foundation University will find its own balance according to its internal institutional dynamics; yet the attempt to invest in such human capital, I believe, will be a worthwhile endeavour for every institution.

## VII – Conclusion

This chapter discussed, clustered, and analysed the factors that the researcher found to be preventing the further establishment of shared governance in Turkish Foundation Universities. It sought to offer a multi-dimensional view of an extremely complex set of interrelations among these factors. Utilizing the GT approach it identified two primary sets of factors, as well as a dominating and overarching one.

The chapter arrived at a series of conclusions: First of all it concluded that the level of institutionalization was seen as a mediating mechanism that had some very important influences on all factors. Secondly, among institution specific factors founding principles and maturity were directly linked with institutionalization and emergence of shared governance mechanisms. Furthermore, the management approach was claimed to be key in creating effective ways of involvement for faculty in governance, contributing in the process to the emergence of trust-based relations in the institution. Thirdly, as part of its discussion on ecosystem-wide factors, the chapter reached the conclusion that there was little individual universities could do to change these macro-determinants considering the absence of models of governance, the vertical mode of communication with the regulating agency, as well as the macro-political circumstances of Turkey, although external QA and auditing mechanisms may partly fill in the gap by both offering models of shared governance and crucially

by creating concrete criteria, such as benchmarking against which current practices may be judged.

While these results are of major importance, one single most important factor that is central to explaining the reason why shared governance has not yet emerged in Turkish Foundation Universities, namely Culture, was discussed separately under a dedicated section. Although what individual universities can do to help develop a national HE culture that is conducive to shared governance is extremely limited, they can, this chapter argued, nurture an atmosphere, within their institutional limits, that makes a fusion of collegial and corporate cultures possible through investing in human capital, i.e. in those individuals who function as nodes in the intra-university network of governance, be they academics or managers.

The concluding chapter provides an overview of the study before further summarizing implications for policy. It also reflects on the limitations of the study and proposes potential themes and agendas for future research. Finally, the personal reflection on this rewarding journey will be told.



## Chapter VI – Conclusion

### I – Introduction

This research was animated by the curious absence of established mechanisms of shared governance in Turkish Foundation Universities. Both the personal and professional experience of the researcher and the literature on this topic confirmed this absence. Thus this thesis sought to explain the factors which hinder the emergence of shared governance practices in Turkish Foundation Universities. The thesis argued that in the absence of institutionalization two sets of factors, namely institution-specific and ecosystem-wide factors interplayed to hinder the emergence of established shared governance practices. More importantly, Culture emerged as the central overarching factor that worked its way through all the other factors in hindering the development of shared governance mechanisms in Turkish Foundation Universities.

This concluding chapter provides a brief summary of the conclusions and central arguments of this thesis and discusses the potential implications for policy and practice. Reflecting the above mentioned set of factors policy and practice recommendations address both institution-specific and ecosystem-wide factors, besides suggesting a generic solution to problems emanating from the impact of culture.

The chapter also presents some limitations to this research and seeks to set out a future research agenda. The primary limitation that this research was constrained with is the marked lack of a mature literature on the topic. This was exacerbated by limitations over access to primary data. To address this lack of data and literature the study turned to a qualitative approach to generate its own data; this could have been backed up with a quantitative approach considering the extent of the HE market in Turkey. This could have made a comparative angle possible, and relatedly, comparison with global examples could have contributed to the explanatory role a comparative method may play. Comparative research is also an area that could generate an important research focus in future research on Turkish HE. Since culture was identified as a dominating factor, it is clear that it should be researched more extensively. Given their importance in Turkish Foundation University governance, the mechanisms and the structures surrounding boards of trustees should also be explored further. Finally, although for-profit HE is technically not allowed currently in Turkey, Foundation Universities walk a fine line between for-profit and public service activities, which makes the future of for-profit HE in Turkey a key area for further research.

This chapter and the thesis conclude with some personal reflections before offering concluding remarks on this rewarding endeavour.

## **II – Major Arguments**

This thesis has offered a number of arguments and arrived at several conclusions. Firstly, it concluded that the level of institutionalization was identified as a central problem by all interviewees influencing every mechanism of governance in Turkish HE. Secondly, among institution specific factors founding principles and maturity were directly linked with institutionalization and the emergence of shared governance mechanisms. Furthermore, the management approach is identified as key in creating effective ways of involvement for faculty in governance, contributing in the process to the emergence of trust-based relations in the institution. Thirdly, on ecosystem-wide factors, the thesis reached the conclusion that there was little individual universities could do to change these macro-determinants considering the absence of models of governance, the vertical mode of communication with the regulating agency, as well as the macro-political circumstances of Turkey, although external QA and auditing mechanisms may partly fill in the gap by both offering models of shared governance and crucially by creating concrete criteria, such as benchmarking against which current practices may be judged.

While these conclusions are of major importance, one single most important factor that is central to explaining the reason why shared governance has not yet emerged in Turkish Foundation Universities, is identified as Culture. Although what individual universities can do to help develop a national HE culture that is conducive to shared governance is extremely limited, they can, this thesis argued,

nurture an atmosphere, within their institutional limits, that makes a fusion of collegial and corporate cultures possible through investing in human capital, that is, in those individuals who function as nodes in the intra-university network of governance, be they academics or managers.

### **III - Implications for Policy and Practice**

Since institutionalization was identified as an all-encompassing theme that mediated all other factors, it must be addressed as a general policy issue. To make up for deficiencies that arise from the lack of institutionalization, transparency via the publication of documents, bylaws, and procedures, and via an improved coherence of HEI managements in observing their own regulations is key to nurturing the culture and practice of institutionalization.

In order to overcome the challenges associated with institution-specific factors the thesis recommended that the discrepancy between their legal status of non-profit and their operational status of for-profit must be removed through a constitutional change. This discrepancy has had enormous bearing upon founding principles for some Foundation Universities, as already observed by successive presidents of CoHE. Relatedly, the observed immaturity of most Foundation Universities can be addressed through close and constructive engagement by regulators and accreditors, which could instil the necessary accumulated experience into the institution. The thesis also recommended that the management should adopt an approach that allows for a flow from the periphery to the core in the decision making processes (Chapter V features a visual representation of this model). A complementary mechanism that ensures trust on the part of especially the academics can be established through better structured communication between management

and all stakeholders. Additionally, this study underlines the importance of effective human resources policies, where valued added services are embedded.

Obviously, these institution-specific recommendations cannot take hold, unless they are supported by ecosystem-wide measures. Firstly, to address the challenge arising from lack of models for collaboration, it is highly recommended that platforms, networks, and associations organized around disciplines, functions or institution types are formed, paving the way for regular collaboration. Secondly, and probably the most important of all as to regulatory change, is the need to transform CoHE, by introducing the new HE law as discussed in Chapter V. In an ironic twist of history, as I was about to complete this thesis recommending an increase in the autonomy of the HE system and HEIs through the proposed regulatory change, in October 2016 a statutory decree published under the State of Emergency gave the final say on Rector election of Foundation Universities to the President of Turkey. Thirdly, this thesis recommends as complementary mechanisms to the proposed regulatory changes the establishment of independent audit and QA systems. While insufficient, a step in the right direction was taken when CoHE created a QA department last year.

Over and beyond all these recommendations, this thesis particularly and strongly suggests that an investment in human capital is of utmost necessity to nourish a culture that can successfully balance the collegial and the corporate. This can be achieved by placing key individuals into nodes that connect business practices with academic activities. These individuals should crucially embody skills

sets from both corporate and academic worlds. Shared governance is possible only when both academics and other stakeholders, and the management realise that they are mutually indispensable.

## IV - Limitations of the Study

**Limited Previous Research:** In the literature review chapter the lack of previous studies has been discussed in detail, neither generally on the governance of Turkish HE, nor in particular on the governance of FUs. This limitation has presented an opportunity for this study to pioneer further research in this area, but being one of the first has meant much less existing research upon which to draw and to analyse to form any cohesive solutions. According to the observations of the researcher, the number of researchers interested in HE is on the rise, but as of today it has not yet resulted in increased scholarly or practitioner research or report outputs.

**Access to data:** The access to reliable and accurate data was not always an easy process, as the only body to which HE institutions are linked is the CoHE. Nor is it common for universities in Turkey to publish any survey or data related to their organizations, which limited this study to general data such as enrolment, foundation year, and number of programs, either retrieved from the CoHE, or laboriously via universities' individual web sites. During the process it was also discovered that none of the institutions have a formal Office of Institutional Research type of entity where internal or external parties can request and access data about the institution, further complicating the data collection process.

**Qualitative Data:** The data used in the study has been collected through semi-structured interviews and as such is a piece of qualitative research, arguably



representing a limitation to the study. On the other hand, the research question selected is highly sensitive, due to its nature of asking interviewees to provide critiques on how governance works in their respective schools and might not have lent itself easily to quantitative approaches. Nevertheless, an addition of a quantitative component to similar studies in the future could be important, as the HE market is growing significantly and worthy of comparative statistical analysis at micro and macro levels, both at home and abroad.

***Global comparisons:*** Through the literature review and references to international reports, a limited perspective of global comparisons is included in the study; however, a comprehensive comparison of Turkish models with other global models has not been conducted. This demonstrates that global comparison remains an area where further research is needed.

## V - Future Research Agenda

**Comparative Research:** Further consideration of global HE comparative studies across systems, universities and continents also surely represents a great opportunity for researchers. Such research comparing and contrasting Turkish Foundation Universities with other examples of private, not-for-profit institutions from different countries would provide practical findings that could be implemented quickly and simultaneously help improve the system. Examining systems similar to Turkey contrasting socio-economic and cultural factors should also serve to make such research more meaningful.

**Role of Culture:** Throughout the study various references were made to the role of culture on the governance of private HEIs. Several interviewees repeatedly commented on the differences in institutional cultures of universities. Given the emphasis on this aspect of HE, it is safe to say that there is interest in further exploration of the institutional culture of Turkish Foundation Universities.

**Board of Trustees Mechanism and Structure:** During the data collection process it was noticed that at each university the board of trustees exhibits notable differences. As discussed in the study these variations affect not only the governance structures of the universities, but various other dynamics. Another potentially rich area of research could therefore be finding answers for how effective a Board of Trustees is as a board, how they are founded, how trustees are selected

and how active each trustee is. The role of the Board of Trustees at Foundation Universities is very different to a regular Board of Trustees in other systems and in most cases they have been acting like a Board of Directors of a private corporation, which would represent a further interesting and original area for future research.

***Private for-profit University:*** One of the most important and fundamental challenges of the Turkish HE system is in its limitations towards admitting different types of HE institutions, such as those in the for-profit arena. This inclusiveness issue is known by all key stakeholders, but there is precious little information or opinion established around for-profit HE, as it could exist in Turkey. Other than a couple of references to the first and only experience of for-profit HE in the early 1970's, even those who are involved in HE cannot provide any comprehensive analysis on the subject. Such research would also have to touch upon the complex issues around whether HE is a public good or a private good and how the Turkish public might respond to a for-profit HE arena that differs from the existing Foundation University system. Future research can look for an answer as to how the global experience of for-profit HE might be useful towards signposting what this could mean in a country where public universities are free to those who perform well enough to get in.

## **VI - Personal Reflections and Concluding Remarks**

Just like any other doctoral student, I envisioned today, writing the last part of my thesis. Regardless of how many people have told me and how many times I have read about it in various articles and seen it depicted even in cartoons, the level of commitment needed to pursue a doctoral degree and to complete a thesis was not fully apparent to me until it was started. I was more than excited upon the completion of the course work, as it was a major milestone in this journey. Realizing that there would very likely be no more formal classes towards a degree was both a weight lifted and the realization that now came the push to produce.

The entire research part of this journey has helped me to improve myself in an area where I was not feeling particularly strong prior to this program. As a professional I have been involved in several research projects, mainly related to business decisions, but I have never had the experience of conducting research in such a systematic and comprehensive way. Identifying the sociological perspective and lens I would be looking through, selecting the data collection methods, choosing the best research method to analyse the data envisaged and developing a holistic approach to the entire dissertation process has been one of the most important aspects of self-development acquired from this journey.

Through this journey one of the most important motivators was comments I received from some of the interviewees regarding my research topic. In addition to

their positive reactions and willingness to help me, their confirmation of this research as one of the only theses on this topic ever conducted in Turkey has been very important for me. The concept of shared governance and how the factors (internal, external or both) affect implementation has also drawn their attention and they all asked to receive the final document.

I did not live through major milestones of Turkish HE such as the conversion of Istanbul University from an Ottoman university to the first modern university of the Turkish Republic in the 1930's, or the 1980 HE Act which has affected the last 35 years of Turkish HE; however, I do feel Turkish higher education is in the middle of historic change and I am extremely excited about being a part of it through this study.

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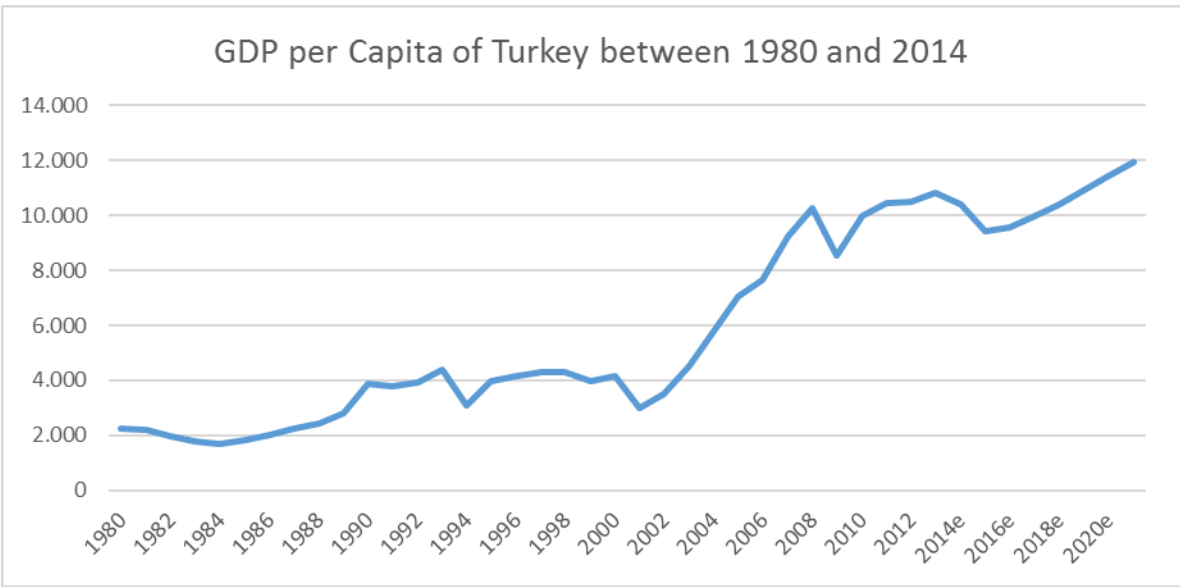
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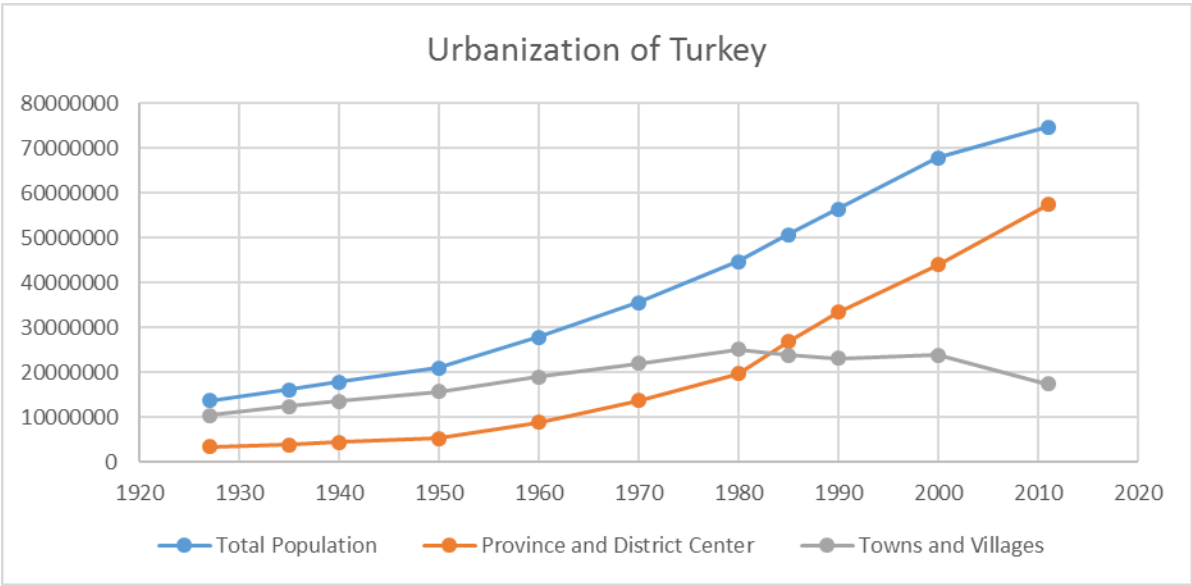
# Appendices

## Appendix A: Economic growth of Turkey



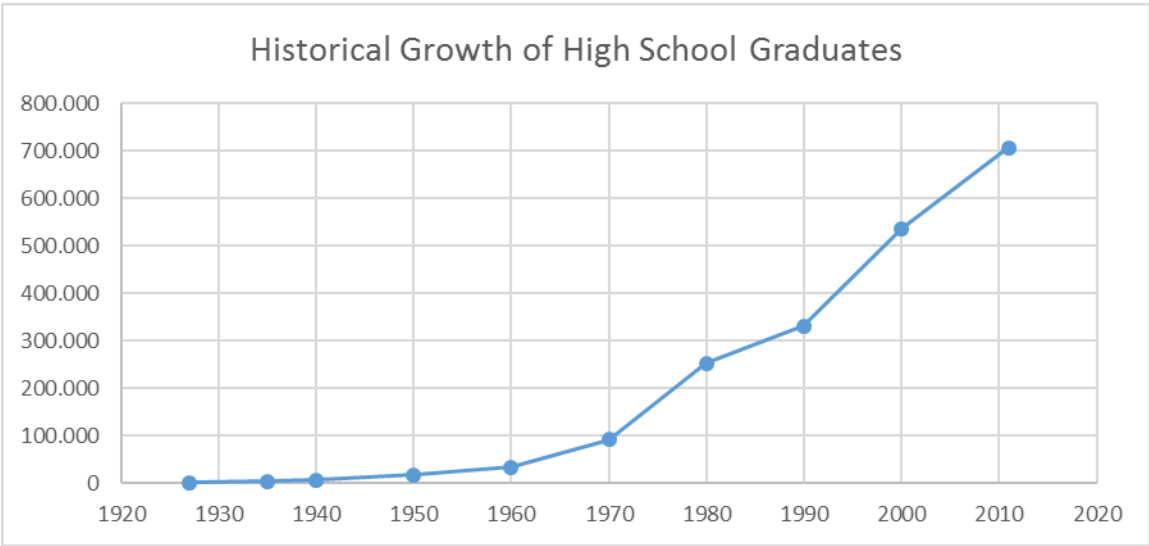
Source: World Economic Outlook, IMF, (International Monetary Fund, 2015)

Appendix B: Urbanization of Turkey



Source: İstatistik Göstergeler 1923 - 2011, Turkish Statistical Institute, (2012)

**Appendix C: Historical growth of Turkish high school graduates**



Source: İstatistik Göstergeler 1923 - 2011, Turkish Statistical Institute, (2012)

## Appendix D: Turkish Foundation HEIs

Foundation Universities and Post Secondary Vocational Schools				
	Name of the HEI	Year Established	State	Total Enrolment
1	Acıbadem University	2007	İstanbul	2.325
2	Alanya Hamdullah Emin Paşa University	2011	Antalya	68
3	Ataşehir Adıgüzel Post Secondary Vocational School	2009	İstanbul	890
4	Atılım University	1996	Ankara	6.491
5	Avrasya University	2010	Trabzon	4.694
6	Avrupa Post Secondary Vocational School	2009	İstanbul	776
7	Bahçeşehir University	1998	İstanbul	17.992
8	Başkent University	1993	Ankara	10.239
9	Beykent University	1997	İstanbul	21.814
10	Beykoz Logistics Post Secondary Vocational School	2008	İstanbul	2.111
11	Bezm-i Alem Foundation University	2010	İstanbul	2.067
12	Biruni University	2014	İstanbul	1.549
13	Bursa Orhangazi University <b>Closed</b>	2011	Bursa	1.251
14	Canik Başarı University <b>Closed</b>	2010	Samsun	1.587
15	Çağ University	1997	Mersin	6.208
16	Çankaya University	1997	Ankara	7.068
17	Doğuş University	1997	İstanbul	5.518
18	Faruk Sarac Design Post Secondary Vocational School	2009	Bursa	308
19	Fatih Sultan Mehmet Foundation University	2010	İstanbul	3.850
20	Fatih University <b>Closed</b>	1996	İstanbul	14.011
21	Gedik University	2010	İstanbul	3.095
22	Gediz University <b>Closed</b>	2008	İzmir	6.978
23	Haliç University	1998	İstanbul	7.995
24	Hasan Kalyoncu University	2008	Gaziantep	4.332
25	Işık University	1996	İstanbul	5.554
26	İhsan Doğramacı Bilkent University	1984	Ankara	12.577
27	İpek University <b>Closed</b>	2011	Ankara	467
28	İstanbul 29 May University	2010	İstanbul	872
29	İstanbul Arel University	2007	İstanbul	15.485
30	İstanbul Aydın University	2003	İstanbul	31.577
31	İstanbul Bilgi University	1996	İstanbul	19.623
32	İstanbul Bilim University	2006	İstanbul	3.120
33	İstanbul Esenyurt University	2013	İstanbul	3.667
34	İstanbul Gelişim University	2008	İstanbul	13.380
35	İstanbul Kavram Post Secondary Vocational School	2007	İstanbul	1.868
36	İstanbul Kemerburgaz University	2008	İstanbul	3.861
37	İstanbul Kültür Univeristy	1997	İstanbul	11.312
38	İstanbul Medipol University	2009	İstanbul	4.942
39	İstanbul Sabahattin Zaim University	2010	İstanbul	2.517
40	İstanbul Şehir University	2008	İstanbul	3.393

Foundation Universities and Post Secondary Vocational Schools - <i>Continued</i>				
	Name of the HEI	Year Established	State	Total Enrolment
41	İstanbul Şişli Post Secondary Vocational School	2012	İstanbul	1.741
42	İstanbul Ticaret University	2001	İstanbul	7.457
43	İzmir Ekonomi University	2001	Izmir	7.605
44	İzmir University <i>Closed</i>	2007	Izmir	5.061
45	Kadir Has University	1997	İstanbul	6.130
46	Kapadokya Post Secondary Vocational School	2005	Nevşehir	1.830
47	Koç University	1993	İstanbul	5.430
48	KTO Karatay University	2009	Konya	2.824
49	Maltepe University	1997	İstanbul	9.159
50	MEF University	2012	İstanbul	608
51	Melikşah University <i>Closed</i>	2008	Kayseri	3.979
52	Mevlana University <i>Closed</i>	2009	Konya	3.906
53	Murat Hüdavendigar University <i>Closed</i>	2012	İstanbul	50
54	Nişantaşı University	2009	İstanbul	11.105
55	Nuh Naci Yazgan University	2009	Kayseri	1.362
56	Okan University	1999	İstanbul	16.930
57	Özyeğin University	2007	İstanbul	5.395
58	Piri Reis University	2008	İstanbul	1.605
59	Plato Post Secondary Vocational School	2009	İstanbul	3.639
60	Sabancı University	1996	İstanbul	4.459
61	Sanko University	2013	Gaziantep	231
62	Selahaddin Eyyubi University <i>Closed</i>	2013	Diyarbakir	312
63	Süleyman Şah University <i>Closed</i>	2010	İstanbul	1.635
64	Şifa University <i>Closed after</i>	2010	Izmir	2.008
65	TED University	2009	Ankara	1.002
66	TOBB Economics and Technology University	2004	Ankara	5.278
67	Toros University	2009	Mersin	2.515
68	Turgut Özal University <i>Closed</i>	2009	Ankara	6.402
69	Türk Hava Kurumu University	2011	Ankara	6.059
70	Ufuk University	1999	Ankara	3.280
71	International Antalya University	2010	Antalya	1.647
72	Üsküdar University	2011	İstanbul	6.321
73	Yaşar University	2001	Izmir	7.525
74	Yeditepe University	1996	İstanbul	22.026
75	Yeni Yüzyıl University	2009	İstanbul	6.025
76	Yüksek İhtisas University	2013	Ankara	0
77	Zirve University <i>Closed</i>	2009	Gaziantep	7.620

## Appendix E: Experiences of interviewees on Turkish HE

Interviewee Number	Experience in Turkish Higher education
1	Academic, foundation and state university management, BoT, and CoHE
2	Academic, foundation and state university management and BoT
3	Academic, Foundation University management and BoT
4	Academic, Foundation University management and BoT
5	Foundation University management
6	Academic, Foundation University management
7	Academic, foundation and state university management and CoHE
8	Academic, foundation and state university management, BoT, and CoHE
9	Academic, Foundation University management and BoT
10	Foundation University management and BoT
11	Academic, foundation and state university management, BoT, and CoHE
12	Foundation University management and BoT
13	State university management and CoHE
14	Academic, Foundation University management and BoT
15	Foundation University management and Board of Trustees
16	Academic, foundation and state university management, BoT, and CoHE
17	Academic, Foundation University management
18	Foundation University management
19	Experience in academic management (Foundation Universities) and in BoT
20	Experience in University management (Foundation Universities) and in BoT
21	Academic, Foundation University management and BoT
22	Academic, state university management and BoT